

Principal Self-Efficacy and Professional Development

For Teacher Evaluation in Indiana

by

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Abstract

The purpose of this study is to determine principals' sense of self-efficacy for evaluating teachers, and to identify characteristics of professional development they experienced. A secondary purpose is to learn how or to what extent their professional development influenced their sense of self-efficacy. Eight elementary principals were interviewed from two Indiana school districts using a semi-structured interview protocol based on the Principal Self-Efficacy Scale survey. Documents from professional development sessions, and an observation of a training are also included in the data analysis. Principal participants showed a moderate to high sense of self-efficacy for evaluating teachers, though the impact of that was not substantial. The district context is important to consistent quality of professional development experiences, which influences principals' sense of self-efficacy. District and state education leaders should consider careful development and full funding for principals' professional development for teacher evaluation, ensuring fidelity of implementation and sustainability for best outcomes.

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Chapter 1

Research Topics

Public school principals face a wide array of responsibilities and tasks, including evaluating teachers. Across the nation, and in Indiana since 2010, teacher evaluation has been mandated and principals named primary evaluators. On the front lines, principals had to adjust and learn how to implement new evaluation processes. Districts, faced with a new mandate, began to train their personnel for implementation. Professional development varied in quality and quantity to help principals assume this new job responsibility. But, as each evaluation cycle passed, all stakeholders within a district gained knowledge, experience and efficacy for the task at hand.

On July 1, 2011, Senate Enrolled Act 1 took effect in the state of Indiana. The law's three pillars encompassed teacher evaluation, school accountability for student test scores, and school choice offerings and resulted in sweeping changes to the education landscape in Indiana. Though ushered through the General Assembly to Governor Mitch Daniel's desk by the Republican majority, Democrats had previously led similar efforts at the federal level, with the inclusion of Race to the Top funds for schools in 2009 (as part of the American Recovery and Reinvestment Act). Race to the Top language included tying student test scores to teacher evaluation, the results of which could be used for merit pay increases or contract termination. Indiana's SEA 1 was a matter of course a majority of states were following at the time (Whiteman, 2011). School boards and Superintendents, in many cases in collaboration with principals and teacher associations, began revising their evaluation systems with little guidance from the Indiana Department of Education (IDOE) on what system to adopt. The IDOE offered a system called RISE, but allowed local control – a politically popular standpoint – on the question of what system to adopt. Districts without a teacher contract in place by midnight on July 1, 2011, had to

quickly develop and adopt a teacher evaluation system in compliance with the new law, then push it out to principals, who spent their summer anticipating the revised, time-consuming, high-stakes duty of evaluating teachers.

To give further context to this study, it is important to know about the evaluation models chosen by this study's two participating districts. One district, introduced further in depth later, Banneker School District, at first chose a highly modified version of the IDOE-provided RISE model. Indiana's RISE evaluation model was developed in response to Public Law 50, the teacher evaluation law, in 2011. It was made fully available for school corporations by the 2012-2013 school year. RISE was developed by the Indiana Teacher Evaluation Cabinet, a group formed by the IDOE including teachers and administrators from around the state. The RISE rubric includes three domains principals look for during observations: Planning, Instruction, Leadership. A fourth domain, Core Professionalism, refers to non-classroom behaviors, such as fulfilling contractual obligations (RISE, 2012). Though the RISE model influenced the general outline of their evaluation system, Banneker School District eventually created their own, based on Charlotte Danielson's instructional rubric, with major revisions to support their designation as an International Baccalaureate district. They reduced the evaluation domains to three: Preparation for Learning, Effective Instruction and Professional Practice. Their work was led by the Assistant Superintendent, Dr. Joe Fisher (pseudonym), and staff from IN-TASS, the Indiana Teacher Appraisal Support System. IN-TASS provided guidance on designing and implementing evaluation systems in Indiana, as well as connecting districts doing the same work. Banneker also received IN-TASS-provided professional development for their evaluators, which included principals and department chairpersons. Trainings included how to effectively observe a classroom, the importance of developing interrater reliability and how to give effective feedback to teachers after observations (<https://www.teacherevaluation.indiana.edu/>).

Grand Orchard School District, also discussed in detail later, received a federal teacher incentive fund (TIF) subsidy in 2010 to join the National Institute for Excellence in Teaching's (NIET) TAP evaluation and professional development model. The TAP System for Teacher and Student Advancement is a "comprehensive educator effectiveness model supporting districts to provide powerful opportunities for career advancement, professional growth, instructionally focused accountability and competitive compensation for educators" (NIET, 2016). TAP evaluates teachers on multiple measures, including teaching practice and teaching outcomes, i.e., student test scores. A unique feature of the TAP model is the promotion of teachers (called mentor or master teachers) as evaluators of their faculty peers. This is the career advancement embedded in TAP, which is lacking in other models across the state. The TAP system is based on Lowell Milkin's and the NIET's research, and has not been published. A school district like Grand Orchard, with a majority of students receiving a free or reduced cost lunch, could not pay for TAP without a substantial grant. It costs between \$250-\$400 per student to implement, and mentor and master teachers earn a pay increase of between \$10,000-\$20,000 (Whiteman, 2011).

Teacher evaluation is a current problem of practice, affecting all roles within a school district or building, but none more so, I believe, than the principal. As a social studies teacher in the early 2000's, I was evaluated by my principal twice a year, at most a 20 minute observation, not tied to any rubric. When I became the principal of an elementary school in 2012, I was simultaneously assigned to a district committee tasked with creating our own teacher evaluation system. That work, as well as my own experience evaluating the 30 certified staff in my building raised many questions for me about teacher evaluation. Throughout my doctoral coursework, I focused a number of papers and projects on different aspects of teacher evaluation. But the role of the principal remained the most interesting to me, and I found that many other practitioners

shared this interest as well, though the literature is lacking. As a result, this study provides further insight into this timely topic.

We know that principals' job responsibilities are all-encompassing. They are responsible to students, parents and teachers. Studies have found that the school principal plays an important role in establishing and maintaining positive working conditions for teachers (Drago-Severson, 2012; Lacireno-Paquet, Bocala & Bailey, 2016). A defining characteristic of a teacher's working condition could be how he or she experiences his or her evaluation process. As the primary evaluator, according to Indiana statute (IC 20-28-9), principals hold power over this aspect of working conditions. Principal's responsibilities to students are also critical. Fullan (2007) and others established the importance of the principalship in determining student outcomes. Principals with successful students and schools had received inclusive, facilitative training for their various duties. Fullan found that successful principals kept the institutional focus on student learning, were efficient managers, combined pressure and support, and maintained a strategic orientation (2007, p. 160). Underlying these skills or abilities is a sense of self-efficacy, which could be reinforced by excellent professional development. As principals began implementing their district's teacher evaluation system, they developed a sense of self-efficacy *for that specific task*, a phenomenon I will be studying.

Self-efficacy. Self-efficacy, a concept first explored in terms of teachers in the late 1970's, is defined as the belief "in one's capabilities to organize and execute the courses of action required to produce given attainments" (Bandura, 1997 p. 2). Bandura (1984) argued that outcomes people expected were largely dependent on their judgments about what they could accomplish. Teachers or principals with a strong sense of efficacy obtain better results toward a goal than those with lower self-efficacy (Bandura, 1997). How does one build a sense of self-

efficacy? Through four different information sources, according to Bandura (1977). They are: Mastery experiences, vicarious experiences, verbal persuasion and physiological arousal.

Self-efficacy should not be confused with a similar phenomenon called collective efficacy. Bandura (1993) characterized collective efficacy as the belief that the faculty as a whole can organize and execute the actions required to have a positive effect on students. This study will not focus on collective efficacy.

Regarding self-efficacy, there is robust research spanning several decades beginning with Bandura in 1977. Much of this research is about teacher self-efficacy. Studies on teacher's sense of self-efficacy eventually led to curiosity about principal's sense of self-efficacy, and measurements were developed. In a more recent study by Tschannen-Moran and Gareis (2004), they developed a stronger measure for determining principal self-efficacy than had previously existed. Those authors conclude, "Enhancing leadership self-efficacy should be an important objective for those responsible for improving the quality of leadership in school" (p. 583). If what schools desire are better student outcomes, and if teacher evaluations are designed to help teachers grow in order to obtain better student outcomes, then it follows that the principal's sense of self-efficacy around evaluation is critical to develop, possibly through professional development practices.

Professional development. Deficiencies in the research about best practices in professional development are well-known. Research consistently points out that professional development for principals is confusing and inconsistent at best, sorely lacking at worst (Guskey, 2003; Nicholson, Harris-John & Schimmel, 2005). Consider the scope of principal's job duties around instruction and management, as well as the different stakeholders they must engage with, all requiring principals to adopt different dispositions. Certainly degree programs can help aspiring principals develop basic knowledge and awareness, but on-the-job experience and

professional development is where much growth happens. What does effective professional development look like? After comparing thirteen studies, Guskey (2003) claimed professional development is sufficient when there is agreement on the criteria for effectiveness (what goals do the teachers/principals want to achieve), if it considers unique contextual elements of each school and the community of learners in that environment, and continually directs efforts toward improvement in student outcomes. Guskey divided those three overall characteristics into 16 detailed descriptors. Lauer, Christopher, Firpo-Triplett and Buchting (2014) found ten characteristics of best practices after analyzing 23 studies on professional development among educators and healthcare workers. Lauer et al. cites characteristics similar to Guskey but includes additional findings, such as allowing participants to practice skills learned with effective feedback. Additional work by Joyce and Showers (2002) led to insight about how connecting different levels, or components of professional development leads to positive outcomes.

It makes sense that research on professional development has yet to find consensus around best practices; professional development is, at its heart, teaching, and there are many variations of and evidence for best methods in teaching, after all. Research on best practices in professional development for principals is even more scant, let alone for something as specific as professional development on implementation of a teacher evaluation system. Though the work of Guskey (2003), Joyce and Showers (2002), and Lauer et al. (2014) will provide a place to start, it will be important to remain open to emergent themes presented by principals, especially in the new territory of principal's experiences in teacher evaluation implementation.

Statement of the Research Problem

Principals' sense of self-efficacy is of concern, because as school leaders, the success of an initiative is directly influenced by them (Hallinger & Heck, 1996). Additionally, professional development for principals is critical to the effective implementation of teacher evaluation

systems, as district and building leaders and teachers want evaluation plans to be a tool to improve teachers' practices and not simply be a measurement facilitating contract termination (Murphy & Cole, 2014). Principals can use teacher evaluation as leverage for improving instructional practices and as means to better student outcomes. This is a multi-faceted task; principals must communicate the purpose of evaluation to all stakeholders, learn to be effective evaluators, implement evaluation and interpret the results, and then act on those results. What beliefs about their own capacity must principals hold, and how do they develop that belief – that sense of efficacy - in order to successfully execute this complex task? Research has not yet established an explicit link between professional development and principals' sense of self-efficacy around the task of evaluating teachers. Therefore, the problem identified as the objective for this study is the relationship between professional development and principal's sense of self-efficacy for teacher evaluation.

Purpose of the Study

There is a gap in the literature regarding a link between professional development characteristics and a principal's sense of self-efficacy. Thus, questions about how professional development can enhance or detract from self-efficacy exist, in this case around teacher evaluation implementation. The literature establishes some common characteristics of best practices in professional development (Guskey, 2003; Joyce & Showers, 2002; Lauer et al., 2014), and antecedents to a strong sense of efficacy are understood (Bandura, 1977; Gist & Mitchell, 1992; Leithwood & Jantzi, 2008). Might there be overlap between the characteristics of best practices in professional development and the antecedents to self-efficacy development?

One's perceptions of self-efficacy are context-specific. As such, levels of efficacy vary based upon the situations people encounter (Tschannen-Moran & Gareis, 2004). Consequently, a principal may feel efficacious within a given context or job responsibility and inadequate in

another, depending upon perceptions of similarities and/or differences between the two contexts and on their preparation for or experiences with these tasks. By examining a principal's perceived level of self-efficacy specifically for teacher evaluation, and reviewing the professional development he or she experienced for that task, we form a picture of teacher evaluation that can be viewed from different angles, through different lenses.

The gap in research remains between which (if any) characteristics of professional development may be related to principals' sense of self-efficacy. Therefore, the purpose of this study is to determine principals' sense of self-efficacy for implementation of their district's evaluation system and to identify the characteristics of professional development which may have served as antecedents to that sense of self-efficacy.

Rationale for the Study

Teacher effectiveness influences student outcomes (Darling-Hammond, 2002; Hanushek, 2010; Kane & Staiger, 2012). Hanushek states, "Estimates of variations in teacher quality suggest that having a good teacher for three to five years would eliminate the average gap between children who do and do not receive free or reduced-price lunch, and between whites and blacks or Hispanics" (2010). Additionally, other studies have found that the positive or negative impact of just one year with either an effective or ineffective teacher can last for several more school years (Stronge, Ward & Grant, 2011). State legislatures, perhaps in response to these findings, have mandated teacher evaluations to determine effectiveness. Teacher evaluation implementation lies with the school principal, the primary evaluator of teachers. Do principals believe in their capacity for this task? It is valuable to understand why their sense of efficacy may be high or low; while there may be many reasons for efficaciousness, this study will focus on its relationship to professional development experiences. It is important to explore the professional development characteristics that mediate efficacy development for teacher

evaluation. Studying professional development practices will give attention to the practical nature of principals' self-efficacy, tied specifically to their role in teacher evaluation.

Additional rationale for this study includes taking a new angle on the implications of the policy context. The professional development offered and the sense of self-efficacy principals perceive for the task for evaluating teachers is happening within a district, state and national context. Understanding how the policy enacted by the state has played a role in outcomes can influence future policy, or administration of subsequent mandates.

Research Questions

1. What are principals' sense of self-efficacy for their role in their teacher evaluation system?
2. What professional development was provided to principals when implementing their evaluation system?
3. How or to what extent has the professional development influenced principals' sense of self-efficacy?

Potential Implications and Significance

This study seeks to determine if or to what extent there is a relationship between principals' sense of self-efficacy and professional development for implementation of a given teacher evaluation system. The findings have implications for school leaders responsible for planning and executing professional development for teacher evaluation as well as policy implications. School leaders and teachers strive for evaluation systems which produce valid and reliable results. The principal's sense of self-efficacy could impact that. A principal with a low sense of self-efficacy may not understand his or her evaluation duties well, rationale or purpose behind evaluation, or simply the mechanics of their system. All of those problems could impact the validity and reliability of the results. Teachers in Indiana already have a low level of trust in their evaluation process and have shown low levels of confidence in their evaluators' procedural

and process knowledge (Murphy & Cole, 2014). For teachers to trust a high stakes system, they will need to believe the results are valid and reliable; observing a principal working with a high sense of self-efficacy could help. Superintendents and their cabinets hold the key to professional development offerings. How do they know what will be effective? This study could also have implications for state-level education administrators who provide support or resources for districts' professional development.

There is legitimate criticism that many professional development experiences are not grounded in best practices, or chase after a fad. But, what constitutes best practices in professional development is not well-defined in the current research. If we know that a strong sense of self-efficacy for a certain task has many positive outcomes, then we would want activities within professional development to enhance a principal's sense of self-efficacy. This study can shed light on what those best practices are, based on the experiences of school leaders.

The evaluation of teachers can be fraught with emotion for all involved, and is politically charged. Assumptions made by politicians behind the teacher evaluation mandate may include the belief that accountability is necessary to cause people to perform, there is a uniform understanding of what quality teaching looks like, that observation is objective, and that there is value to evaluating teachers. Principals and teachers may or may not have the same assumptions, yet they are expected to comply. In this high-stakes, political context, how should principals approach their duty to evaluate? Perhaps a reflective approach is best. Being aware of one's sense of efficacy, and how it developed, means reflecting; in the case of this study, it is a public, albeit anonymous, reflection. The hope is to share knowledge about how a principal's sense of self-efficacy developed, for the betterment of others in the field.

Chapter 2: Literature Review

Defining the Inquiry Domains: Self-Efficacy and Professional Development

The connection between professional development activities and a principal's sense of self-efficacy has not been well-established in the research. What has been established is the definition of self-efficacy, its antecedents (also called information sources or determinants) as well as some common characteristics (also called methods, elements or activities) of effective professional development. A principal's self-efficacy can vary from one task or context to another, which is why this study will focus on self-efficacy for teacher evaluation responsibilities. There are some common characteristics of effective professional development; what might be effective training for principals as they implement teacher evaluation systems, is yet unclear. How have principals been prepared as evaluators, and do they believe they can accomplish this new task? A principal's sense of self-efficacy for teacher evaluation, and understanding how he or she developed that sense is important because of the connection between a high sense of self-efficacy and positive outcomes for a given task. Therefore, I propose to shed light on the issue by conducting a qualitative, multiple-case study. This literature review is grounded in peer-reviewed studies about principal leadership, principal self-efficacy and characteristics of professional development.

Self-efficacy. Self-efficacy is the belief in one's capabilities to organize and execute the courses of action needed to produce given attainments (Bandura, 1977). If one objective of public education is high student achievement, and research has shown that teachers' instructional capability plays a large role in attaining that goal, then teacher evaluation systems meant to grow good teachers are crucial building blocks of that purpose. As building leaders, principals are responsible for evaluating teachers and should have a high sense of self-efficacy for that task.

They should believe that their capability to organize and execute evaluations is great, and that, in turn, will lead to successful outcomes in student achievement.

Antecedents to development of self-efficacy. Albert Bandura began studying efficacy, a construct of social cognitive theory (SCT), in the 1960's. According to SCT, developed by Rotter in the early 1940's, an individual's behavior is determined by personal factors, previous and current behaviors and their environment (Bandura, 1996). Bandura found there are four antecedents to development of expectations of self-efficacy: Performance accomplishments (a series of which lead to mastery), vicarious experience, verbal persuasion and emotional arousal. (See Appendix A, Figure 1 Efficacy Expectations; Bandura, 1977 p. 195). Possible examples of each information source include:

- Mastery experience: Performance accomplishments via participant modeling, performance exposure and self-instructed performance.

An example related to principals' roles in teacher evaluation could be an interrater-reliability exercise, where two principals observe a teacher and review their scoring decisions afterward, calibrating scores to a set standard.

- Vicarious experience: Live or symbolic modeling.

Observing an experienced evaluator in a post-observation conference with a teacher (commonly called a "fishbowl" exercise) would be a vicarious experience.

- Verbal persuasion: Suggestion, exhortation, self-instruction (includes self-talk).

An example could be positive reinforcement from district leaders about principals' abilities to evaluate teachers effectively. Additionally, self-reflection upon conducting observations of teaching would be an example of verbal persuasion as self-talk.

- Physiological arousal: Emotional arousal via attribution, biofeedback, symbolic desensitization and symbolic exposure, anxiety level.

As principals embrace the responsibility of teacher evaluation, they can pay attention to rising, or lessening anxiety, and examine the reasons for such physiological arousal (Bandura, 1977). Once a principal experiences mastery for a given task, it is less likely that the other antecedent experiences (vicarious experience, verbal persuasion, physiological awareness) will impact her or his sense of efficacy (Gareis & Tschannen-Moran, 2005). Mastery experiences are the most potent.

It is important to understand that this study measures principal's *perceived* sense of self-efficacy. There is not an objective way to measure such a construct; a researcher can only ask participants for an honest self-assessment. Therefore, throughout the study, the terms "sense of self-efficacy" or simply "principal's self-efficacy" refer only to the principal's perception as captured through the interview process.

Race, gender and years of experience are not significantly correlated to principal's self-efficacy (Dimmock & Hattie, 1996; Gareis & Tschannen-Moran, 2005). Gist and Mitchell (1992) found that self-efficacy may be influenced by personality, motivation and the task itself. They proposed a model of the antecedents (which they call 'determinants') of self-efficacy, emphasizing the malleability of one's sense of efficacy; it varies from task to task (See Appendix A, Figure 2). Gist and Mitchell also proposed a model of the relationship between self-efficacy and performance, describing it as cyclical in nature. As opportunities to successfully perform a given task occur, self-efficacy increases, and the person may look for more opportunities to perform successfully and so on. One notable finding from Leithwood and Jantzi (2008) is that self-efficacy among school leaders can come from either the belief that efficacy is inherent, or that it is acquired. But, those who view their self-efficacy as inherent ("I was born this way") fail more easily at tasks - creating problems - while those who believe they can acquire skills are more successful leaders.

Can districts help leaders acquire self-efficacy? Leithwood and Jantzi point out that there is very little evidence in very few studies exploring district-driven antecedents to school-level leader self-efficacy. Research has shown that principals' high sense of self-efficacy is correlated to support from and positive relationships with superintendents and central office administrators (Osterman & Sullivan, 1996). Likewise, Gareis and Tschannen-Moran (2005) presented a paper showing that support from the superintendent and central office personnel was correlated to high efficacy beliefs, but the availability of teaching resources and financial support correlated most strongly to principal's self-efficacy.

A concept called collective efficacy has also been thoroughly documented in education. Collective efficacy refers to a group's shared belief in its capability to organize and execute actions required to achieve goals (Bandura, 1997). Goddard, Hoy and Woolfolk Hoy (2000) argued that collective efficacy springs from a few sources: mastery experience, vicarious experience, social persuasion and emotional arousal. This is aligned with previous findings on self-efficacy (Bandura, 1977), but claims a different set of dynamics between teachers and principals, for example. Collective efficacy will not be part of this study.

Bandura synthesized decades of his own research around self-efficacy and posited that those with higher self-efficacy accomplish more and are healthier and happier (1997). While the health and happiness of principals is certainly a concern of many, this study will focus on principal's sense of self-efficacy for teacher evaluation. Self-efficacy affects behavior directly by impacting goal achievement, outcome expectations, affective states, and perceptions of socio-structural impediments and opportunities (Bandura, 2000). It is a powerful belief.

Teacher self-efficacy. Bandura's early study of self-efficacy was not focused on the principalship. In fact, the 1977 study explored self-efficacy around people's fear of flying. Since then, many studies have been conducted about teachers' sense of self-efficacy (TSE). As

Bandura established in the late 1970's, the antecedents to TSE are mastery experience, verbal persuasion, vicarious experience and physiological arousal. Researchers have noted the cyclical nature of the development of self-efficacy (Gist & Mitchell, 1992; Tschannen-Moran & Woolfolk Hoy, 2001). As teachers gain experiences and move successfully through stress, learning from each other, they gain mastery and raise their sense of efficacy. That can propel them into a place of readiness for another teaching task, beginning their efficacy development over again. See Appendix A, Figure 3 for diagram explaining that cyclical nature of teacher self-efficacy.

The first major set of findings on TSE resulted from the RAND organization questionnaire of 1978, and helped to define TSE as “the extent to which a teacher believes he or she has the capacity to affect student performance” (Tschannen-Moran, Woolfolk Hoy & Hoy, 1998). The extent to which a teacher believes he or she can affect a student's performance in spite of factors such as student's home life, socio-economic factors, mental health factors, etc., is called general teacher efficacy (GTE) while a teacher's confidence in his or her training to overcome obstacles is referred to as personal teacher efficacy (PTE) (Tschannen-Moran, Woolfolk Hoy & Hoy, 1998).

In their study, Gibson and Dembo (1984) tried to validate the construct of teacher self-efficacy, by developing a new measurement for it. Their investigation included three phases: A factor-analysis meant to determine the dimensions of TSE, a multi-trait, multimethod analysis to understand how TSE is different than other constructs, and a classroom observation to better understand teacher focus, feedback and persistence (p. 570). This study validated their 30-question survey measuring a teacher's sense of self-efficacy. Findings included when a teacher has a high sense of efficacy, he or she is less likely to criticize a student after an incorrect response, and is more likely to pursue a positive remedy to correct the misunderstanding. The

teacher is also more likely to employ small group instruction and show a high level of professional commitment (p. 579). Consistent with other researcher's findings, and most importantly, student outcomes are more positive when their teacher has a higher sense of GTE and PTE (Gibson & Dembo, 1984; Moore & Esselman, 1992; Ross, 1992; Watson, 1991). Clearly, self-efficacy is a powerful construct that is useful in understanding teacher motivation and in explaining student outcomes.

Principal self-efficacy. In recent years, scholars have begun to explore principals' sense of self-efficacy. Antecedents to self-efficacy are the same for principals as they are for anyone, but principals are faced with a unique set of expectations and responsibilities. Principals routinely have thousands of interactions a day and must make hundreds of decisions (Peterson & Cosner, 2005). The tasks for which they should develop efficacy are much more varied than a teacher's tasks, for example. It is important for principals to have a high sense of self-efficacy for a variety of reasons; they are more successful when confronted with challenges and they will persevere through difficult tasks (Bandura, 1997). Additionally, since an efficacious principal is more effective, and competent teachers want to work with effective principals, a principal's sense of self-efficacy can affect retention of high quality teachers (Kaplan, Owings & Nunnery, 2005).

While researchers have divided teachers' sense of self-efficacy into GTE and PTE, the same has not yet occurred for looking at principals' sense of self-efficacy. Principal's self-efficacy has been measured more generally, or in a global sense. Several measures of principals' sense of self-efficacy existed prior to Tschannen-Moran's and Gareis' development of the Principal Sense of Efficacy Scale (PSES) in 2004, but each were problematic (Dimmock & Hattie, 1996; Goddard, et al., 2000; Tschannen-Moran & Woolfolk Hoy, 2001). Using the existing measurements of principal self-efficacy, Tschannen-Moran and Gareis undertook three

studies of principals, and found that the most reliable results came from a survey that was an adaptation of the TSES (Tschannen-Moran & Woolfolk Hoy, 2001). They found that “the strength of the efficacy belief should be assessed by asking respondents to identify a point along a continuum of beliefs, rather than an ‘all-or-none,’ or ‘yes-no’ format” (p. 575). Additionally, they found that the format of the survey items was important; vignettes (“a small, yet influential and articulate group of faculty members resists all attempts to implement the school’s agreed-upon objectives”) were less effective than statements (“I can motivate difficult teachers to support the school”) in determining a principal’s sense of self-efficacy.

The resulting PSES incorporates 18 questions used to measure principals’ beliefs about their ability to achieve various leadership tasks in three categories, including their sense of efficacy for instruction, management and moral leadership (Tschannen-Moran & Gareis, 2004). The PSES has been used in multiple studies.

Daly, Der-Martirosian, Ong-Dean, Park and Wishard-Guerra (2011) used the PSES in their study of California principals to understand the principals’ sense of self-efficacy in relationship to their school’s improvement status under the state accountability system. Daly et al. hypothesized that principals in schools in need of improvement (INI) would perceive less self-efficacy, and the findings supported this. There was a significant difference between principals’ sense of self-efficacy in high performing schools versus principals whose schools had been INI for 3-5 years. The longer a school had been INI, the lower a principal’s sense of self-efficacy was. Overall, they describe INI status as producing a downward spiral of self-efficacy for principals, constraining efforts at school reform (p. 194). Citing Leithwood and Jantzi (2008), Daly et al. suggest further examination of district-level leaders’ contributions to organizational conditions that can significantly influence a principals’ sense of self-efficacy.

A Norwegian study from 2011 further extended the literature on principal's sense of self-efficacy and its relation to other concepts. Federici and Skaalvik surveyed over 1,800 Norwegian principals with a Norwegian PSES (a translation of Tschannen-Moran and Gareis' PSES, 2004) finding significant positive correlations to job satisfaction and motivation to quit, and a negative correlation to burnout. Though the setting is a Norwegian cultural one, these findings support the importance of principal self-efficacy in reducing principal turnover rates, which studies have shown damage school improvement efforts (Mascall & Leithwood, 2010).

Coaching and mentoring – two aspects of a professional development system – served to raise administrators' (called "heads" in this British study) sense of self-efficacy (Rhodes & Fletcher, 2013). This study was an analysis of existing research evidence in coaching, mentoring, talent management, leadership development and self-efficacy. Rhodes and Fletcher found that teachers training to become a head had a higher sense of self-efficacy after participating in a phased approach to coaching and mentoring in their leadership development. Lack of scaffolding in leadership training resulted in a reduction of self-efficacy and no placement as a head/principal. Rhodes and Fletcher suggest future research on the relationship between leadership professional development and self-efficacy.

Professional development. The National Center for Education Statistics findings from its 2011-2012 Schools and Staffing Survey, state: "According to our analysis... 95 percent of principals believe they have a major influence on teacher evaluation. But principal professional-development activities fall into the same kinds of weak training forms that have been widely criticized in research on teacher professional development" (DeMonte & Pennington, 2014) Principals deeply feel their responsibilities, including teacher evaluation, and want to perform effectively. Can professional development assist in this?

Professional development for principals. Teacher evaluation reform was a signature piece of Obama-era education policy, included in NCLB waiver requirements, Race to the Top funding and the Teacher Incentive Fund competitive grant program. Indiana, to comply with federal rules as discussed in Chapter 1, enshrined teacher evaluation into law in 2011, which required training for those who would evaluate teachers (IC 20-28-9). After the onset of implementation, superintendents in Indiana were surveyed to gauge how the first year of reform had gone; 59.7% of respondents were extremely concerned or concerned about resources to provide training to evaluators (Cole et al., 2012). However, the state of Indiana did not heed these concerns and provided no direct support of professional development to *all* districts. Indiana's situation was common to many states.

Derrington (2014) studied the initial implementation of teacher evaluation in a southeastern state and found that superintendents were faced with the responsibility of allocating scant district resources since the state provided no additional funds to support a professional development mandate. Her conclusion suggests this is problematic for superintendents of large districts who are out of touch with building principals' needs for professional development about teacher evaluation. In this unfortunately common context of unfunded education mandates, some districts like Grand Orchard applied for federal funding to help them meet state professional development requirements and were lucky to get it, as only about 5% of school districts were recipients (Aldeman, 2017).

In 2013, a study of Indiana districts found "that the role of the principal must change in order to ensure the time and skills necessary to provide quality feedback to teachers and there is a great need for professional growth on assessment literacy" (Cole, Murphy, Rogan & Eckes, 2013, p. 1). Additionally, the authors warned about a lack of consistency and standards in evaluator training, and voiced concern that there was not a certification process to ensure that

evaluators are highly trained (p. 5). Chestnut, Stewart and Sara (2015) found that higher education institutions in Indiana were adjusting their curriculum for future school leaders in response to teacher evaluation law; faculty members felt their students – future principals – did not have adequate time or knowledge of teacher evaluation to implement a system successfully.

While district leadership was scrambling to be in compliance with state law, they may have lost focus on the end goal of teacher evaluation, according to Chad Aldeman, an education policy advisor at the federal level during this era. In a 2017 article, which aptly includes the subtitle “Hindsight,” he cites the “perils of prioritizing a process over its end result,” which he believes should have been “differentiating the best teachers from those who are merely satisfactory and those who continue to struggle” (Aldeman, 2017, p. 65). The study on superintendents’ assessment of Indiana’s implementation (Cole et al., 2012, p.10) similarly concludes: “Simply being compliant and adopting a teacher evaluation model to comply with the legislation does not guarantee that the internal norms around teacher quality, student growth and learning and quality assessment have been created.” The literature suggests that the end goal of teacher evaluation may have been de-emphasized as simply reaching compliance became the focus. As a consequence of the compliance focus, the quality and consistency of mandated professional development may have also suffered.

Generally, the literature revealed a lack of peer-reviewed research examining exactly what principals currently receive in terms of professional development. Research does reveal what professional development principals said they needed, their preferred delivery methods, and some findings around best practices.

Salazar (2007) conducted an assessment of rural school principals’ needs for professional development, as well as principals’ preferred delivery method. Findings indicated that principals were more concerned with honing their leadership skills as opposed to their management skills.

The preferred delivery method was conference/seminar, and least preferred was mentoring/coaching or networking through small study groups. Principals explained that they could be “held captive” at a seminar, freeing them to return to the daily work pressing at their schools as soon as possible.

Though principals may not prefer the methods according to Salazar (2007), Coffin and Leithwood (2000) found that mentoring and coaching were effective characteristics of professional development. They also found that structured meetings with superintendents and experienced administrators enhanced the mentoring process, perhaps because it provided a necessary sense of accountability. Oliver (2005), in a study of assistant principal’s professional development needs, experiences and desired methods, found that up to 24% of assistant principals surveyed did not want to participate in professional growth programs, whether they were oriented toward management topics or instructional leadership topics. However, Oliver recommends doing just that, suggesting embedded, long-term professional development occur, as well as mentoring. Findings from Lauer et al. (2014) contradict the suggestion that long-term development is more effective. On the contrary, they found that short-term professional development can be effective. This apparent disconnect – between what principals may prefer and what research shows is best practice – is worth further consideration and study, as well as the contradiction in findings regarding short- versus long-term professional development.

Established best practices in professional development. As used in the Every Student Succeeds Act (2015), the term *professional development* has an 18-part definition (Definition of Professional Learning, 2015). In the abstract, one could say that professional development includes activities that are an integral part of school, providing educators with the knowledge and skills necessary to enable students to succeed. According to the ESSA definition, delivery methods could include face-to-face, online, individual and small group or large group, to name a

few. Characteristics of professional development cut across all of the listed delivery methods, and include dozens of practices and activities. For example, an online delivery method could include the characteristic of modeling or demonstration with a follow-up activity to reflect on application of the new skill in one's own school.

Guskey (2003) and Lauer et al. (2014) conducted analyses of multiple studies' findings regarding characteristics of successful professional development (See Appendix B). Guskey was able to identify 21 characteristics, while Lauer et al. identified ten. Guskey (2003) analyzed 13 lists of best practices from a variety of sources such as research agencies, the US Department of Education and national educational organizations. The lists were generated from different types of studies as well; some empirical, some case studies. Further differences in the 13 source lists include different purposes for the professional development. Some were aimed at science education efforts, (Loucks-Horsley, Stiles & Hewson, 1996) and others focused on sustained school reform (Terzian, 2000). While some characteristics of effective professional development were on multiple lists, some appeared just once, others were contradictory and there were variations across all 13 lists. Similarly, Lauer et al. (2014) found inconsistencies in their narrative literature review of 23 studies describing short-term professional development events. The studies selected for their review were empirical, had participants in education, healthcare or human-services employment and included descriptions of how learning took place and participant outcome data. They found ten common characteristics of effective professional development (See Appendix B for table). Their findings that effective professional development can occur in short-term sessions contradicts earlier studies emphasizing professional development needs to be long-term (longer than 30 hours) to be effective (Guskey & Yoon, 2009; Oliver, 2005).

Lauer et al. (2014) and Guskey's (2003) findings support Paul Bredeson's earlier research on professional development in schools. Bredeson does not wade into the weeds, the characteristics and methods of effective professional development, as much as he frames out the systems school districts and school sites need to have in place for successful outcomes. Grounding his framework in educational psychology and principles of cognition, Bredeson explores implications for professional development in terms of personal actions, organizational structures, learning cultures and political actions (2003, p. 33). He stretches his conclusions about the positive possibilities of professional development beyond "work" to an educator's personal, emotional and even spiritual growth as a human being.

Joyce and Showers (2002) provide one additional source for elements of effective professional development. Elements of effective professional development, according to their research are: preparation, introduction, demonstration, engagement, evaluation/reflection, and mastery. Joyce and Showers argue that when those elements are present in the four levels of professional development, learners will gain the best outcomes. The levels include building theoretical knowledge and awareness (component one), demonstration and modeling (component two) application and practice (component three), and coaching and feedback (component four) (Joyce & Showers, 2002, p. 73). Their 2002 book examines detailed case studies of districts using an inquiry approach to training which they reflect back onto the established best practices of professional development. Part of their argument is that one-time sessions can be effective if they contain the six elements and the first three components (everything except mastery). So, similarly to Lauer, et al., Joyce and Showers agree that short-term professional development can accomplish certain goals. In 2013, Noonan, Langham and Gaumer Erickson developed an observation protocol for a professional development session (one-time session) for adult learners based completely on Joyce and Showers' six elements. (See Appendix F for the checklist.)

Though the observation protocol is designed to use for evaluation, it can also guide development of a given session.

Guskey (2003) calls for coming to agreement on what “effective” means, but sees the difficulty in that – “...like beauty, effectiveness is in the eye of the beholder” (p. 14). Should effectiveness measure all the way through student outcomes, or just fidelity of implementation? Many questions arise. Yet, we continue to seek reliable standards for professional development. The literature does not include anything specific to effective professional development for principals in regard to enhancing performance of teacher evaluation duties. Professional development for different evaluation models do not necessarily have different modes of delivery, characteristics or activities.

Orientation of professional development to efficacy antecedents. Several of the established antecedents to efficacy are characteristics of sound professional development. Vicarious experience basically means learning from the experiences of others, or experiencing modeling. Guskey (2003) found that out of 13 lists he analyzed, nine advocated promoting collegiality and collaboration. When colleagues collaborate, they can learn vicariously, as they are expected to share their experiences and problem solve together, and they model skills for each other.

Social persuasion, as described by Goddard, Hoy and Woolfolk Hoy (2000), and by Bandura (1977) as verbal persuasion, includes feedback about achievement or suggestive statements. Guskey found that feedback, described as “follow up and support” was a common characteristic in five of the 13 lists analyzed (2003). Likewise, Lauer et al. (2014) showed that follow-up support to promote transfer of learning positively influenced professional development outcomes. Joyce and Showers (2002) also established that coaching to support implementation of a new education initiative was significant to a successful outcome. They differentiate coaching

from feedback, noting that effective feedback requires a lot of specific training, and describe coaching as a collaborative planning process. Of possible significance is the difference between these three concepts: feedback, follow-up and coaching, and their relation to verbal persuasion. Within the literature, each is defined similarly, but examples provided by the studies' authors vary.

Emotional arousal, which Bandura describes as physiological arousal (1977), could include feelings generated when hearing a moving story of success or failure, or when evidence of success is presented. Emotional arousal could also happen when participants' needs are being met, invoking calm (or, if *not* being met, invoking anxiety). Preparation or introduction, two of Joyce and Showers' elements enacted early on in a professional development session, include characteristics like establishing rapport and a clear purpose. Those characteristics can help meet participant's needs, lowering their stress or anxiety. This emotional arousal can influence self-efficacy. Physiological arousal means noting an anxiety response. Emotional or physiological arousal does not make the lists of characteristics of effective professional development in analysis from Guskey (2003) or Lauer et al. (2014), *per se*. However, Tschannen-Moran and McMaster (2009) note that it surely impacts one's experience. It will be important for this study to be open to evidence of emotional or physiological arousal (perhaps through anxiety, or having needs met) in the principal's professional development experience and explore whether or not the principal felt this had any relationship to self-efficacy.

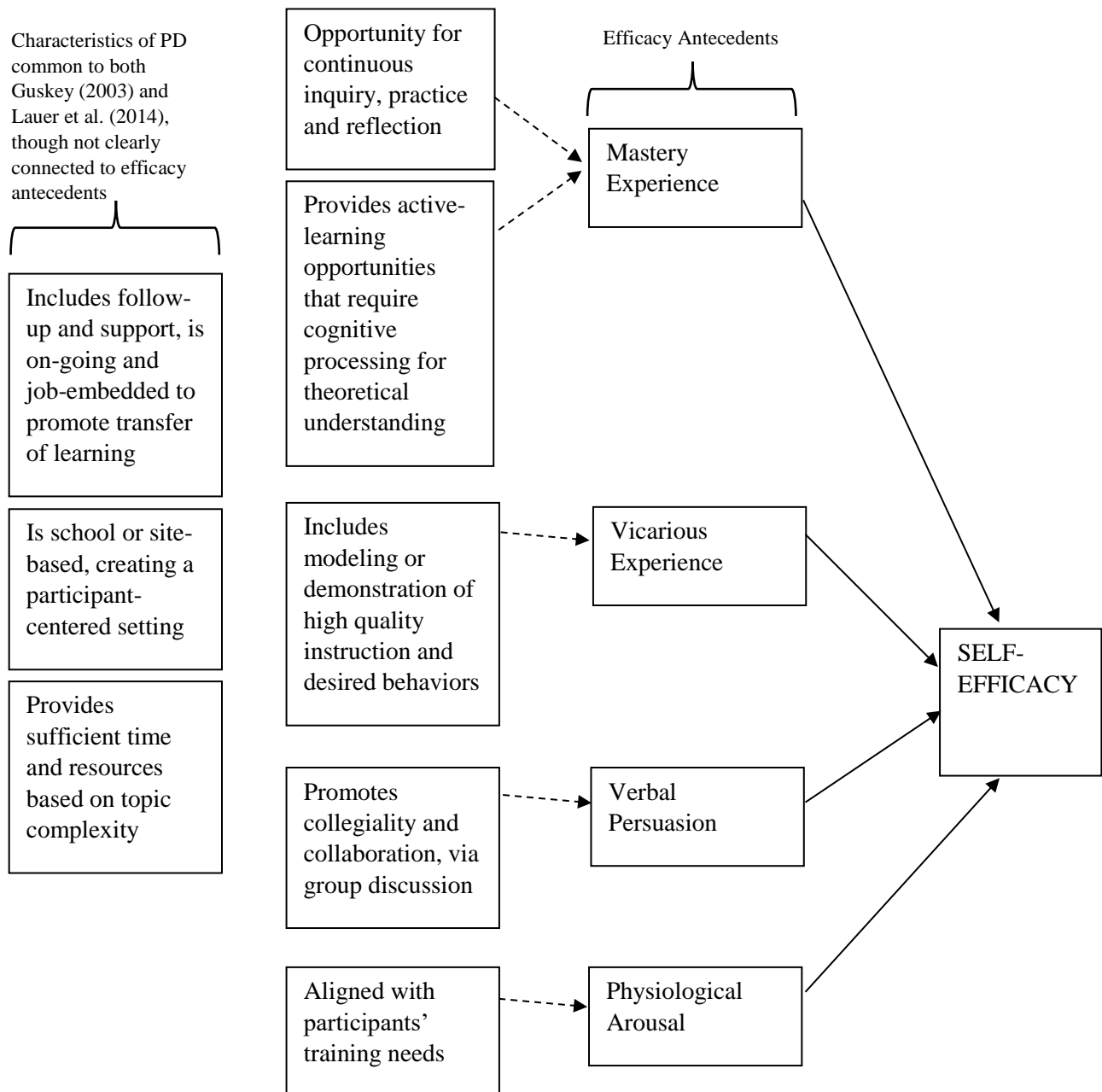
The last antecedent to self-efficacy is performance or mastery experience. Professional development, in the way it is usually conceived as a single workshop, or series of sessions, does not provide mastery experiences alone. Within any in-service, a mastery experience could be described and discussed, but that would be classified as a vicarious experience for participants. Mastery occurs during daily work, reflection and years of service and experience in overcoming

difficulties through persistent effort (Goddard, Hoy & Woolfolk Hoy, 2000). Joyce and Showers (2002) recognized the value of evaluation/reflection in development of mastery. Additionally, opportunities to perform a new task, often inherent in professional development activities, can build *toward* a mastery experience.

Conceptual framework. I propose a conceptual framework (See Diagram 1) orienting professional development practices to antecedents of self-efficacy. A framework is often used to demonstrate how the many pieces from the literature fit together and this can offer a plan of investigation. This proposed framework will be used as a lens through which to view selected elementary principals' experiences in teacher evaluation. Between the findings by Guskey (2003) and Lauer et al., (2014), eight common characteristics emerge. Five of them are activities or methods related to one of the four antecedents of self-efficacy development. Three of them do not seem to have overt relationships to an antecedent, but are included in the framework because of their appearance in both Guskey (2003) and Lauer et al.'s (2014) research.

Gaps in the literature. By investigating the self-efficacy beliefs of principals and by illuminating possible ties between efficaciousness and professional development principals experienced, a gap in the research could be addressed. School district leaders could consider including specific elements within professional development offerings to improve principal's performance as evaluators and implementers of teacher evaluation systems. This study's findings also shed light on the influence of district leadership in the development of a principal's perceived sense of self-efficacy.

Diagram 1: Orientation of best practices in professional development to antecedents of self-efficacy



Chapter 3: Research Methodology

Research Design

Choosing a study design requires consideration of the philosophical foundations underlying qualitative research (Merriam, 1998). A case study is grounded by interpretivist or constructionist epistemological beliefs, as opposed to being grounded in positivism. Broadening interpretivism and constructionism to post-modern philosophy includes acceptance of multiple interpretations of reality which are all valid, and can all generate knowledge or understanding. Merriam (1998) suggests a researcher examine her own orientation toward reality, the purpose of the research, and the type of knowledge to be produced when considering designs. I am more interested in the formation process and context of the phenomenon of principal self-efficacy for teacher evaluation, than in outcomes, a specific variable or confirmation. Therefore, a multiple-case study is a good match for my general orientation as a scholar and practitioner, as well as a good match for the purpose of this study.

I conducted a qualitative, multiple-case study of principals' sense of self-efficacy and their experience with professional development related to implementation of a teacher evaluation model. I employed Yin's suggested formal, objective, systematic process (2013) where data were utilized to test the following research questions:

1. What are principals' sense of self-efficacy for their role in their teacher evaluation system?
2. What professional development was provided to principals when implementing their evaluation system?
3. How or to what extent has the professional development influenced principals' sense of self-efficacy?

A case study design is advantageous to any other method because of the depth of information I seek to gather from principals. The case study method allows me to make direct

observations and collect data in a natural setting, which should result in findings applicable and interesting to other educational leaders (Yin, 2013). The sampling strategy section of this chapter explains my process of site and participant selection.

A benefit of qualitative inquiry is that a study's design is emergent and flexible, responsive to changing conditions of the study in progress (Merriam, 1998). I allowed for an adapted design. I concluded each of the first two cases and then considered whether or not application of replication logic could strengthen my findings (Yin, 2013). The findings of the first two cases, which included interviewing five principals from Banneker School District and three principals from Grand Orchard School District did not produce contradictory findings. Therefore, I saw no need to open a third case to re-test initial propositions.

Rather than apply quantitative methods in search of quantitative data, a qualitative multiple-case study is the best method to answer my research questions. To survey dozens of district principals with the PSES, for example, would not shed light on their experiences as evaluators, and it certainly wouldn't allow for a richer discussion of the professional development they experienced for that duty. A survey would result in their general sense of self-efficacy for their job. But interviewing principals, and letting them tell their story of how it is to be an evaluator in their specific setting and context provides insight into the high-stakes, time-consuming task of evaluation that an online survey could not.

Unit of Analysis and Framework

I analyzed two school districts and the elementary principals within the districts.

First unit. The first unit of analysis, or major entity of study, was a school district. Within each district, I studied the professional development offerings to principals specifically on the topic of teacher evaluation. Analysis of principals' professional development was framed by established best practices (Guskey, 2003; Joyce & Showers, 2002; Lauer, et al., 2014).

Second unit. The second unit of analysis, or major entity, was the principal of an elementary school. For the second unit, I analyzed the principals' sense of self-efficacy for teacher evaluation, as well as their feelings about professional development experiences. Analysis of principals' sense of self-efficacy was guided by Tschannen-Moran and Gareis' 2004 PSES survey.

I referred to my conceptual framework (Diagram 1, p. 27) throughout data analysis. Viewing my findings through the framework of principal self-efficacy and what constitutes best practices for professional development provided actionable information other district leaders can use, which is discussed in Chapters 4 and 5.

Sampling Strategy

The most appropriate sampling strategy for a qualitative case study design is non-probabilistic, typically called *purposeful* or *purposive* (Chein, 1981; Merriam, 1998; Patton, 1990). According to Creswell (2013), there are several types of purposeful sampling. Researchers must be clear on the intent of their study, and carefully select people or sites who can best help them understand their phenomenon (p. 206). It is my intention to explore the concept of self-efficacy and generate a deeper understanding of its relationship to professional development, therefore, I used theory or concept sampling in my selection of districts, and convenience sampling in my selection of principals to interview.

Site (district) selection. Since the research topics are principal self-efficacy and professional development for teacher evaluation, I felt it was critical to choose districts that 1) had teacher evaluation plans, and 2) had documented in their plan submitted to the state that they did indeed have a professional development/training plan in place.

To find those districts, I reviewed plan rating scores from IN-TASS, the Indiana Teacher Appraisal Support System, as well as which districts were recognized by the Indiana Dept. of

Education for compliance with statute. IN-TASS produced a review of 271 district's teacher evaluation plans, scoring each plan on a 36-point scale (Haley, 2016a). No school district earned 36 points. The scale's elements which are critical to this study are

- 4.2b: Evaluators roles and responsibilities are clearly defined
- 4.6a: Evaluator training; required training with certification
- 4.6b: Evaluator training; training with yearly renewal.” (Haley, 2016b).

Case 1, a large suburban district, which I will refer to as Banneker School District, scored 32 out of 36. Critical to this study, Banneker was in compliance with both 4.6a and 4.6b, requiring evaluators to be trained yearly with certification and renewal. Banneker received the services of IN-TASS throughout the early development and implementation of their teacher evaluation plan, including professional development via trainings, online modules and consultation services. Case 2 was Grand Orchard School District (also a pseudonym). They earned a plan score of 29 out of 36, but did not contract with IN-TASS for professional development and consultation. Through a Teacher Incentive Fund grant, Grand Orchard became a TAP district, receiving five years of various professional development and support. Grand Orchard requires evaluators to be trained and certified, but their plan did not call for yearly renewal. I selected these two highly-rated districts, in order to learn about the principals' self-efficacy for evaluation tasks, and what professional development looked like. Therefore, selected districts had to have planned for training of some kind, whether it was yearly, or required certification. Details on each district's evaluation system can be found in Chapter 1.

As with many case studies, the sampling is not random, so arguments could be made for different samples for different reasons. Selecting principals from school districts which have low ratings on IN-TASS's evaluation could be considered. However, after reviewing rating scale element #4, to see if a district had even attempted professional development for evaluators, it

became clear that to answer my third research question, I would need to choose districts with a plan for professional development at the very least.

I connected with the formal gatekeeper, the central administrator in charge of evaluation, at both Banneker and Grand Orchard through Dr. Sandi Cole, Director of IN-TASS. After emailing the appropriate IRB paperwork and a letter of explanation to the Superintendent of Grand Orchard and the Asst. Superintendent at Banneker, I was given permission to contact elementary principals, gather documents and attend any professional development sessions for principals regarding teacher evaluation.

Principal interview participant selection. When deciding which principals to interview in each district, I considered types of purposeful sampling, including typical, unique, maximum variation, convenience, snowball, chain and network (Merriam, 1998; Patton, 1989). I decided against unique, snowball, chain and network sampling because I am not telling a story about outlying experiences through this research. Maximum variation was seriously considered because it provides a wide range of experiences, connecting to the widest range of readers. Left with either typical sampling or convenience sampling, I chose typical sampling.

Typical sampling. Typical sampling is a purposeful type of sampling in which the researcher studies a person or site which is typical to those unfamiliar with the situation (Creswell, 2013, p. 208). I chose elementary school principals because there are more of them than there are secondary school principals in Indiana, and they typify a building administrator's typical work. Also, in order to have a large enough sample of participants within the two districts I had selected, I chose elementary – there were simply more of them than middle or high school principals with evaluation duties. So, my participant sample decision also bleeds over into convenience sampling. And, since this is not a comparative study, this homogeneous group of interviewees is appropriate.

Seidman (2013) proposes two criteria to determine sample size: sufficiency and saturation. Saturation occurs when participants are no longer revealing anything new, and obviously must be determined as the study progresses. For sufficiency, a researcher must ask, does the number reflect the range of participants that make up the population so that many readers can connect? Even experienced researchers struggle with the question of sample size: “Enough is an interactive reflection of every step of the interpretive process and different for each study and researcher” (Seidman, 2013, p. 57). In order to end with a sufficient data set, based on the convenience sampling strategy and considering Seidman’s criteria, I invited all elementary principals from each district who work in schools serving students in grades PK-6 (no.= 10).

Though inviting all principals for an interview means possibly including principals who do not have extensive experience in their district, limiting interviewees to those with several years of experience could diminish my data set to an insufficient number of participants. Based on publicly available data, all principals in each district have multiple years of experience in education; their time in their current assignment or the district is not available. However, according to each district’s teacher evaluation plan, the evaluation process is year-long. Therefore, since I planned to begin interviews during the second semester of the 2016-2017 school year, it was reasonable to assume each principal would have had at least several months of experience as an evaluator.

Method of Data Collection

I addressed all four of Yin’s (2014) principles of data collection for case studies, which helped establish the construct validity and reliability of the evidence (p. 118). First, I used multiple sources of evidence to enable triangulation of data. Data from interviews, document reviews and observations converged as findings of the research questions. Second, I created a

case study database, including a data and evidentiary base and my report in dissertation form. QDA Miner software was used for coding and managing observation, document and interview records. Third, I maintained a chain of evidence, carefully tracked the data collected, conclusions drawn, methods used and report written. The fourth principle is to exercise care when using data from electronic sources. Yin suggests not relying on only e-sources. My literature review, from which came the research questions and data collection protocols, was based on peer-reviewed and otherwise trustworthy sources.

Document review. In order to gain a deeper understanding of how principals were being trained as evaluators in their districts, I conducted a review of documents from the 2016-2017 school year. Initial documents reviewed included each districts' evaluation plan as submitted to the Indiana Department of Education in 2016, as well as IN-TASS's analysis of evaluation plan compliance (Haley, 2010a). Then within each district, I asked interview participants as well as the central administrator in charge of evaluation if they could share or direct me to any documents pertaining to professional development or training for principals on teacher evaluation from the current year (2016-2017). No principals provided any documentation of any professional development experiences. In Banneker School District, Asst. Supt. Fisher provided a PowerPoint from an August 2017 training for new evaluators. Also, I found that Banneker School District had published Evaluator Briefs (published by Asst. Supt. Fisher's office) on their district webpage. Those documents were uploaded into QDA Miner and I coded them for Guskey's (2003) and Lauer et al.'s (2014) elements of best practices in professional development. I also had access to documents like meeting notes from IN-TASS's work with Banneker during the plan development phase. Dr. Fisher confirmed their partnership with IN-TASS as well as principals' participation in IN-TASS training via email (J. Fisher, personal communication, December 13, 2017).

Grand Orchard School District does not have anything akin to Banneker's Evaluator Briefs, nor did their principals have any agendas or notes from professional development sessions they had attended in 2016-2017. To increase my general understanding of TAP, I read as much as was available online, but had no access to specific Grand Orchard – TAP documents. To learn more about what TAP includes, see Chapter 1, p. 3. As discussed in Chapters 4 and 5, it turns out that Grand Orchard principals had no formal professional development as evaluators in 2016-2017. As that piece of information was revealed to me, it made sense then, that no documentation was available for review.

Observation of professional development. I asked each district gatekeeper (in this case, a central administrator in charge of teacher evaluation) if I could attend any professional development sessions for principals on the topic of teacher evaluation. I planned to use Noonan, Langham and Gaumer Erickson's Observation Checklist (2013) at any professional development session I was able to attend. The checklist was based on Joyce and Showers' six elements of effective professional development (2002). It contains 22 items under the six elements, which are preparation, introduction, demonstration, engagement, evaluation/reflection and mastery. According to the authors' statement at the top of the checklist, "The tool represents a compilation of research-identified indicators that should be present in high quality training. Professional development training with a maximum of one item missed per domain on the checklist can be considered high quality" (Noonan, Langham & Gaumer Erickson, 2013). Therefore, earning 16 or more checks out of 22 possible means the professional development can be considered high quality. See Appendix F for the checklist.

As I attended the January 17, 2018 professional development session at Banneker School District, I used the checklist to evaluate each part of the session. (There were two distinct parts.) I also recorded the sessions and transcribed the recordings into QDA Miner. I analyzed the

transcripts for Guskey's (2003) and Lauer et al.'s (2014) elements of best practices in professional development.

Interviews. I chose the interview method because it is designed to elicit the meanings principals assign to professional development phenomena and to illuminate the social cognitive theory of self-efficacy, which underlies their behaviors. Interview protocol was developed and reviewed by experienced administrative advisors, a former administrative colleague and two current administrators who are part of my doctoral cohort. The interview was a semi-structured, 40-minute interview of 15 open-ended questions conducted in principals' offices during the spring of 2017. The interview protocol has two parts (See Appendix D for part one and two interview protocol). The questions about principal's sense of self-efficacy are based on Tschannen-Moran and Gareis' Principal Sense of Efficacy Scale (PSES), which they developed after review of Hillman's (1986), Imants and De Bradbender's (1996) and Dimmock and Hattie's (1996) instruments (See Appendix E for the PSES). Their survey protocol has 18 questions answered on a 9-point Likert scale; the interview protocol I developed is based on those questions, but specifically states questions in terms of teacher evaluation. Self-efficacy is context and issue-specific, hence the need to structure interview questions toward one issue: Teacher evaluation implementation (Bandura, 1997). I asked principals to first consider where they fell on the scale for each question. The scale was 1=None at all, 5=To some degree, 9=A great deal. Then each question began with: "In your current role as principal, to what extent can you..." I followed-up with an open-ended prompt, such as, "How so?" Part two of the interview focused on principal's experiences with their district's professional development for teacher evaluation (Part two is also found in Appendix D). Those questions were open-ended.

Interviews were recorded on a Sony voice recorder. Interview files were immediately saved to my password-secured personal laptop, as well as to a secured account in a cloud-based server. I transcribed the interviews within 48 hours using the slow playback feature of Windows Media Player. Within the transcription documents, I included details from what I observed about the school settings, the office and any students, parents or personnel I encountered. After I completed the interview transcriptions, I uploaded transcripts to QDA Miner, changed any identifying names and locations, and kept a log of pseudonyms on a paper in my locked file cabinet as well as in a spreadsheet saved to my secured account in a cloud-based server. In QDA Miner, I coded each transcript for themes drawn from the conceptual framework on principal's sense of efficacy and established best practices in professional development. My QDA files were saved to my computer and my cloud-based server account. No one has access to any of these files except me, and they are password protected.

Emergent Themes

Saldana (2009) suggests several readings for patterns, relationships, codes and themes, all distinct ways to think about data. Therefore, on my first reading, I read each interview transcript looking for themes established by the guiding conceptual framework, i.e., the four antecedents to the development of efficacy:

- Vicarious Experience
- Mastery Experience
- Physiological Arousal
- Verbal Persuasion

Under each of those themes, I established codes based on an activity or experience the literature used as examples of how the antecedents were enacted. Here are the initial codes (the activities), under the established themes (the antecedents to efficacy development):

- Vicarious Experience
 - Modeling Experience
- Mastery Experience
 - Reflection
 - Active Learning
 - Cognitive Processing
 - Feedback Given
- Physiological Arousal
 - Anxiety Response
 - Needs Met
 - Needs Not Met
- Verbal Persuasion
 - Collaboration
 - Group Discussion
 - Collegiality

As I coded, several other codes emerged as patterns within the principals' responses. They were categorized under the simple theme, Other:

- Other
 - Personal Goal
 - Being Organized
 - Workload
 - Pressure
 - Perceived Personality Type
 - Demographics
 - General Training Detail
 - Evaluation as Leverage
 - Ethical Behavior
 - District-provided Resource
 - Belief in Purpose of Evaluation

Those "Other" codes were added in some cases for ease of finding information later (demographics, general training detail, for example), but also because they continued coming up, indicating a possible pattern among the principals.

For the second reading, I read for codes which had emerged in the “Other” theme category, as well as coded for types of professional development principals experienced. The types of professional development codes were organized under a setting theme, and also by activity type:

- Settings
 - District in-service
 - Full or partial day
 - Consultant-led training
 - Full or partial day
 - Regional or state conference
- Activity Type
 - Guided skill practice
 - Self-assessment
 - Example shown
 - Create shared vocabulary
 - Coaching for fidelity

Note that activity type can refer back to activities that could be an antecedent to building a sense of self-efficacy. For example, “Example shown” within a professional development session is a vicarious experience.

QDA Miner downloaded quotes I highlighted and produced Excel files I could easily sort by principal, district, code or category.

The study proposal was approved by the Indiana University Office of Research for IRB on January 31, 2017, study participants were informed appropriately, and I maintain their signed consent forms in a file (see Appendix C for the letter for informed consent).

Study Limitations

This study has potential limitations in that measures of best practices of professional development are not perfectly defined. However, characteristics of good professional development (Guskey, 2003; Lauer et al., 2014), and elements of effective professional development training sessions (Joyce & Showers, 2002) can be used as a lens through which to

understand the districts' professional development. Whether or not the characteristics are indisputable, they ground this research. Related to that limitation is the concern that a principal's sense of self-efficacy for teacher evaluation could be influenced by a number of variables outside of a professional development experience, such as their previous years of experience, their general ability level or personality. This was accounted for by a few questions in the interview, seeking to determine what else has influenced their sense of efficacy for the evaluation task.

This study does not address principals' sense of self-efficacy for developing, evaluating or improving student growth measures (SGM) as they relate to the teacher evaluation system. Since mandatory use of SGMs has been relaxed by the ESSA 2016 as well as by practitioners around the country, the focus for this study is limited to the principal's sense of self-efficacy around the teacher performance rubric of each district's plan.

One could argue that by studying two districts with different evaluation systems, (e.g., locally-developed, research-based in one, TAP in another) limitations are imposed in several ways. Perhaps the different systems have different professional development requirements confusing the positive practices of the model for the varied practices of the professional development. At the same time, however, this study intends to analyze the professional development, regardless of its origin model, searching for characteristics in common with best practices. For example, the professional development necessary to implement TAP evaluation may have the same characteristics as the professional development for even a highly modified version of RISE; the model matters not. What matters is identifying the characteristics which principals' experienced that enhanced (or didn't enhance) their sense of self-efficacy for the task. A related limitation is the fact that this study began after TAP in Grand Orchard was defunded. Nonetheless, gaining insight into how a district was coping after the loss of a comprehensive

professional development system has been valuable. Return to Chapter 1 for more discussion on the two types of evaluation models used in the two school districts.

Reflections on data collection and analysis. Persistence paid off when scheduling interviews with principals. Out of the eight interviewees, all but two required at least two emails from me before their first response in return. I tried to schedule at least two interviews on a single day, but was flexible and accepted whatever time the principals could give me.

Initially, I expected the interviews to last about 60 minutes. After piloting them with two collegial administrators, I found they took about 45 minutes. But, the questions led to answers which sufficiently addressed my research questions, so I did not make any major changes to the protocol. Another concern about the interview protocol was whether or not it would elicit a reliable self-efficacy score. Tschannen-Moran and Gareis' PSES from 2004 formed the basis of my questions, but I re-worded the questions so they were specifically about a principal's teacher evaluation duties. Out of their 18 questions, five asked directly about interactions with students:

In your current role as principal, to what extent can you...

1. facilitate student learning in your school?

5. promote school spirit among a large majority of the student population?

7. raise student achievement through standardized tests?

13. handle effectively the discipline of students in your school?

14. promote acceptable behavior among students?

Since those could not be revised in relation to the task of teacher evaluation, I removed them from my revised interview questions. As discussed earlier, the participating principals selected a

response rating from the Likert scale after I read a statement to them, and then I gave a simple follow-up, such as “Tell me about that.” Comparing the self-reported item ratings with themes from the subsequent discussion we had and looking at other observations I made of the school, test score and teacher effectiveness scores, I believe the efficacy scores I assigned to principals are a reasonably reliable measure. Though I did not employ member checking with principals, I did contact Dr. Fisher in January 2018 to clarify the context of his district’s plan development.

I was surprised at the lack of formal professional development sessions for evaluators in each district, given the importance, high priority and time required to evaluating principals. My study proposal included a plan to observe as many sessions as I could at each district, but none were scheduled for the spring semester of 2017. At Banneker, a 30 minute session occurred on August 9, 2017 for new administrators who would be serving as evaluators. Though I was unable to attend, Dr. Fisher emailed me the PowerPoint he used for the session which I analyzed as part of the document review. I was able to attend and observe a two-hour session on January 17, 2018 for evaluators in Banneker School District. Grand Orchard principals shared that they had no formal professional development as evaluators during the entire year of 2016-2017. I was surprised and not a little disappointed I would not have much professional development to observe, but believe that the lack of professional development is an important finding in itself, and will discuss it further in Chapters 4 and 5.

Personal bias can distort findings in a case study. In my case, I recognized that as a former principal tasked with evaluating teachers I could easily slip into a judgmental state when analyzing interview transcripts. And, while I felt it was important to establish rapport with the principal participants, I hesitated to share my administrative background with them, lest they give less-thorough answers, thinking we “spoke the same language.”

Chapter 4: Findings

The purpose of this multi-case, qualitative study is to determine the perceived level of self-efficacy principals have for the specific duty of evaluating teachers, to learn what professional development they participated in for that task, and what the relationship is (if there is any) between their professional development and their sense of efficacy. The study's two foci, principals' perceived sense of self-efficacy and professional development experience, led to an inquiry of the current literature, which lacked findings about the association between the two. These research questions guided the study:

1. What are principals' sense of self-efficacy for their role in their teacher evaluation system?
2. What professional development was provided to principals when implementing their evaluation system?
3. How or to what extent has the professional development influenced principals' sense of self-efficacy?

Data collection included semi-structured interviews with eight elementary principals from two school districts, as well as demographic data. In addition, data was also collected from training documents principals had access to about teacher evaluation duties, and an observation of one professional development session.

In this chapter, descriptive data on each district is shared first. Then, findings from principal interviews, document reviews and a professional development observation are organized by district. By organizing the findings this way, readers can quickly digest the scope of findings and begin to consider the relationship between professional development and a principal's sense of self-efficacy for teacher evaluation. This is the story of Banneker School

District's and Grand Orchard School District's approach to professional development for teacher evaluation, and the sense of self-efficacy elementary principals feel for such an important task.

Banneker School District

Banneker is located in a major metropolitan area, within the suburban core ringed by an interstate. Banneker serves approximately 11,000 students at 13 school or program sites. According to state standardized assessments and other measures, Banneker is a below-average to average school district in the state, with a graduation rate in the upper 80th percentile. In 2017, about 51% of students received a free or reduced lunch, and about 14.6% of students received special education services. Sixty-seven percent of students in the district are people of color (Indiana Dept. of Education Compass).

Banneker employed 783 teachers (2015-2016 school year) across 12 schools. Their current, locally-developed evaluation system has been in place since 2012, described in Chapter 1. According to Asst. Supt. Fisher, the district chose Charlotte Danielson's instructional rubric because it was research-based, then significantly modified it to fit their district's unique needs and International Baccalaureate approach (personal communication, January 17, 2018).

Banneker's evaluation model has three domains: Preparation and practice, effective instruction and professional practice. An oversight committee of 21 faculty and administrators, alongside IN-TASS Director Dr. Sandi Cole and Dr. Hardy Murphy, revised the model over several years, with feedback from other district personnel. Overall, in the whole district, 95% of teachers evaluated in 2014-2015 (the most recent year data is available) were rated as Effective or Highly Effective. In the seven elementary schools, 323 teachers were evaluated; 53.6% were rated Effective and 43% were rated Highly Effective. Seven teachers were not evaluated, one was rated Ineffective, and three teachers were rated as Needs Improvement.

Banneker elementary principals. Five principals from Banneker were interviewed (two declined to respond to multiple requests). Four were women, one was a man. All of them came from a traditional principals' background; they had taught for several years prior to becoming an assistant principal, then moved into a principalship. Three principals tied for the least experience at three years each, in their respective elementary schools, and the one with the most experience was in his 19th year of administration, his 12th at his current school. All of them had one assistant principal and around 50 certified faculty. The elementary schools are large, averaging 730 students per building across six grade levels. See Table 1a-c for Banneker School District principal and school demographics at a glance.

In each school I visited, I found more or less similar settings. There were standard 21st century security measures in place, being “buzzed” in to each office through one or two outer doors. Office administrative assistants greeted me and I signed in, sometimes wearing a “visitor” badge, sometimes not. There were often students facing discipline scattered throughout the offices, teachers and aides rushing by, classes walking quietly by. Parents of all types came through to drop off or pick up their children; black, white, Latinx, harried, calm, exhausted, cheerful. Posters advertised Banneker’s International Baccalaureate status in each office, PTO events, rules and procedures. Sometimes student artwork or projects were displayed. At the center of all of the activity in each school sat the knowledgeable, stressed, professional, always-in-motion principal. I was grateful they could sit with me (though rarely uninterrupted) for 45 minutes and talk.

Table 1a-c: Banneker School District Principal and School Information

| Table 1a: Principal Experience - Banneker School District | | | | | | |
|--|-------------------|---------|-----------|-------------|--------|--------------|
| 2016-2017 | Principal Name | Palmer | Flores | Chin | Roy | Nichols |
| | School Name | Shelley | Riverbend | Coyote Pass | Kurtis | Weatherstone |
| | #Yrs. Teaching | 6 | 12 | 9 | 6 | 12 |
| | #Yrs. Asst. Prin. | 0 | 3 | 2 | 3 | 1 |
| | #Yrs. Principal | 12 | 3 | 3 | 3 | 5 |
| | PSES Score | 7.923 | 5.38 | 6.54 | 7.25 | 5.83 |

| Table 1b: School Accountability Information - Banneker School District | | | | | | |
|---|---------------------|---------|-----------|-------------|--------|--------------|
| | Principal Name | Palmer | Flores | Chin | Roy | Nichols |
| | School Name | Shelley | Riverbend | Coyote Pass | Kurtis | Weatherstone |
| 2013-2015* | School Letter Grade | A | A | C | C | A |
| 2015-2016 | School Letter Grade | B | B | D | B | D |
| 2016-2017 | School Letter Grade | B | C | C | B | D |
| 2014-2015 | #Teachers | 44 | 47 | 47 | 48 | 49 |
| | % Effective | 40.9 | 42.6 | 74 | 83 | 55 |
| | % Highly Effective | 59.1 | 51.1 | 20 | 12.5 | 40.8 |

*School letter grades from 2013-2014 were maintained in 2014-2015 by state decree.

| Table 1c: Student Demographic Information - Banneker School District | | | | | | |
|---|-------------------------------------|---|--|---|---|---------------------------------------|
| 2016-2017 | Principal Name | Palmer | Flores | Chin | Roy | Nichols |
| | School Name | Shelley | Riverbend | Coyote Pass | Kurtis | Weatherstone |
| | #Students | 739 | 735 | 789 | 694 | 812 |
| | % Student Race/ Ethnicity | W: 59.3 B: 18.9 M: 5.3 H: 14.7 | W: 29.1 B: 46.0 M: 11.7 H: 11.4 | W: 14.4 B: 55.8 M: 3.3 H: 24.5 | W: 10.4 B: 31.8 M: 4.2 H: 42.1 | W: 11.8 B: 47 M: 7.5 H: 31.3 |
| | % Students on free or reduced lunch | 37.4 | 47.8 | 76.7 | 77.2 | 80.7 |
| | | | | | | |

As discussed before, Banneker's rubric includes three domains, and each teacher must be evaluated within those domains every year. Evaluations consist of formal announced and unannounced observations, and informal walkthroughs. For formal observations, a pre-conference must be held. Post-conferences must be held for all formal observations, and written feedback is mandatory for all observations, formal or informal. Principals felt pressure and a heavy workload:

I have 26 evaluations I do myself. My AP does 19. So, we do split them up. I take a couple more. But within the past three or four years I have about 10 new teachers every year. And so that's four observations for each of those new teachers. So this year I have all 10 on me to lead. So, that's 40 observations right off the bat before I get to everybody else, which is the minimum three [observations]. (J. Nichols, personal communication, April 3, 2017).

So, it's probably like 40 teachers. We divide it up, my assistant principal and I. So we have about 20 each when we talk about specialists and sped teachers. And yeah. So I'm looking at, like the minimum, 50 hours. (K. Powers, personal communication, March 20, 2017).

It's much easier than the [former evaluation system]...Still, it's a lot of work...In my last strand - 27 of them I did. My assistant principal came in October...she has close to 20. (M. Palmer, personal communication, April 11, 2017).

Principals like Ms. Powers, quoted above, talked about the sheer number of hours they spent on evaluations, mostly post-observation as they reviewed the scripts taken while observing a teacher's lesson. All spoke about their acceptance of the difficulty of the task, including Principal Roy: "I accepted the task and we just persevered through it" (personal communication,

March 23, 2017). Ms. Chin, from Coyote Pass Elementary, does between 23-26 full evaluations a year. She makes copious notes in the observation software, but withholds scoring indicators in their rubric until she reviews her scripting later. She said: “So it does take me a little bit longer, but I wanna make sure that I'm not judging something too soon and I haven't really reflected on the whole piece” (personal communication, May 11, 2017). Through their professional development with Asst. Superintendent Dr. Fisher, guided by IN-TASS trainers, Banneker principals were told to script what they were observing in a “Notes” section, and then score later, after seeing the entire lesson. Observations could last from 20-90 minutes, then principals would often take an additional one or two hours to review and score. Following that was a post-observation conference, which could take between 20-60 minutes. Therefore, just one formal observation of one teacher could take between 1 hour, 40 minutes and 4 hours, 30 minutes. Some principals expressed frustration toward central administrators: “I don't think they realize what those look like - doing 26 of those - you know?” (J. Nichols, personal communication, April 3, 2017).

In general, however, elementary principals in Banneker School District expressed varying degrees of appreciation for district leadership in training them on how to evaluate teachers, and navigate their system. “I think the district has done a fairly good job at offering the trainings” (J. Nichols, personal communication, April 3, 2017). Others agreed:

It's really, really hard and I'm thankful for our district where I feel like we have a balance compared to some of the other systems...I've been very impressed with the professional development we've had at the district level from focusing on specific things. (A. Roy, personal communication, March 23, 2017).

Dr. Fisher, I think, has really taken [professional development] to another level, so we, we had a lot of training sessions, we've had accountability, we've had check-ins. (M. Palmer, personal communication, April 11, 2017).

Professional development at Banneker. Each of the five principals from Banneker School District were asked two open-ended questions in the interview. They were asked to give a general overview of professional development they had experienced regarding their district's teacher evaluation model, and were asked if any activities struck them as more useful or less useful than others. At Banneker, professional development since implementation of their evaluation system, has been created and presented in-house by administrators on the oversight committee or central administrators. Membership in the IN-TASS consortium included professional development training as well, given by IN-TASS staff. Additionally, principals refer to the official Teacher Evaluation Guidebook document and its accompanying district-managed webpage for guidance, according to Ms. Roy (personal communication, March 23, 2017).

Principals at Banneker have traditionally attended monthly principal's meetings. Dr. Fisher, the Asst. Supt. who is tasked with managing the teacher evaluation process at Banneker, has led professional development at those monthly meetings, has published an "Evaluator Brief" for principals off and on since 2014, and leads a half-day professional development session for all evaluators once or twice a year. Mainly, those sessions, taken altogether, provide vicarious experiences (like modeling) for principals. Over time, they can add up to mastery experiences.

Principals use terms like "calibration" to describe the purpose of modeling exercises. Such modeling exercises can be categorized as vicarious experiences, one of the antecedents of self-efficacy development. Ms. Chin said, "We've done some calibration of what do you consider effective, highly effective [and] what do you consider not [effective] by looking at a video and

actually having some common ratings” (personal communication, May 11, 2017). Ms. Nichols, who has a heavy workload of evaluation duties, mainly due to ten new teachers in her building, said, “So, um, it's been good to have conversations with other people about what they're doing during [an observation] too. Um, we watch a video and they have feedback about what did you choose, what did you not choose, how are you scripting things, where are you putting your indicators in there?” (personal communication, April 3, 2017). The modeling process at these administrative meetings tends to have a few steps:

1. Principals watch a video of a teacher teaching a lesson.
2. They script the video as they watch, as if they were the evaluator.
3. They score the lesson.
4. They share their scripting notes and scores, and discuss their reasoning with each other, then try to come to consensus.

I think [watching] the videos has been pretty powerful. Just to watch those and then have conversations about what you're seeing, um. I think that's where we've had the best conversations because there's so much to look at when we watch it. So, some pick up on the environment really quickly, some are just looking at the teachers, some are looking at the students, and so we're just, where does our lens go first and how would you help that teacher and having those conversations behind that. (J. Nichols, personal communication, April 3, 2017).

Principals valued having time together to discuss their work experiences around teacher evaluation. I asked Ms. Flores if she would agree that she had learned from her administrative colleagues. “I would, because what you think at the moment when you're scripting and

evaluating, um, it's good to see how other people are thinking and get their feedback and get their view. It's good" (personal communication, March 20, 2017).

Belief in purpose of evaluation. The purpose of Banneker School District's teacher evaluation is stated in the opening page of the evaluation plan: "We believe the primary purpose of evaluation is to facilitate growth among students, teachers and evaluators." Principals have knowledge and awareness of this stated purpose, and they shared sentiments that showed agreement.

Even though [teachers and principals] have a shared vision and talked about it, you want to see it in practice. And then it also allows you to have that reflective conversation with teachers to see what, how are they feeling, what's going on, how can I give you some additional strategies or just, what additional questions can I ask to make sure I can help you grow. (A. Roy, personal communication, March 23, 2017).

It's not a Gotcha. It's here to help. It's me showing my support for the teachers and letting them know right off the bat that this is really what it's for: To help you grow. (J. Nichols, personal communication, April 3, 2017).

The AP and I, we're pretty transparent and realistic and just, we're not trying to get anybody. We know that everybody is working hard and we're just here to help them improve. So we always just come in with positive attitude, and, I feel like they know it's not a "Gotcha!" moment. (K. Flores, personal communication, March 20, 2017).

Principals talked about this shared purpose when scoring the item, “To what extent can you generate enthusiasm for a shared vision of the teacher evaluation process?” Principals in Banneker School District rated themselves moderately high, averaging a 6.8 on the 9-point Likert scale. Some qualified their high rating by explaining that it was difficult for teachers to feel enthusiastic about being observed and evaluated, but nonetheless proceeded with a “can-do” attitude.

Several questions in the interview generated responses that I coded under “Leverage,” as in, principals talked about using the evaluation process as leverage for several things, including firing bad teachers, getting good student outcomes and encouraging professionalism among teachers. Ms. Nichols used the scheduling of classroom observations as leverage to force teachers to begin teaching content early in the year:

Even though we start in August I want you to take time to get procedures and community building and all that, we still only have 180 days with the kids. So, if you're not going to get into academics with 3rd, 4th, 5th graders until September, that's going to be a problem. So, I actually start [my observations] the last week of August with just an informal and I go in to see the tone and expectations and I may watch a morning meeting. (personal communication, April 3, 2017).

But Mr. Palmer at Shelley Elementary, who spoke effusively of his teachers’ talents, didn’t find ways to leverage the evaluation for increasing teachers’ skill sets, because he felt they didn’t really need it. “Sometimes your teachers are just so talented and they're on top of it there's very few strategies or suggestions you can have.” Additionally, he said, “You can also give them accolades and tell...well, some teachers it's really hard to tell them what to work on because they're so good. But you can always tell them to continue to improve what are they looking at?

Where do they want to go?” Mr. Palmer was also the only principal in Banneker School District that I interviewed who mentioned the evaluation as leverage to fire a teacher, though somewhat cryptically. “So I support teachers the best you can. And then if a teacher's not able to perform, then you have a system that you encourage them to do something else” (M. Palmer, personal communications, April 11, 2017).

Overall, principals were able to express a sense of alignment between the stated purpose or vision of the evaluation plan and their own working interpretation of it (that it is not a “gotcha”). To the principals, it was about growing better teachers, and a platform to recognize current good practices among the faculty. This understanding could serve as an antecedent to efficacy for teacher evaluation, as verbal persuasion, since the shared purpose was talked about regularly. Since the purpose was well known and agreed upon, it may also have operated as a way to lessen anxiety around the process.

Principals’ sense of self-efficacy for evaluating teachers. Banneker Elementary principals’ scores for the PSES-based interview questions are in Table 2, below. Table 2 shows Banneker Elementary Principals’ sense of self-efficacy specifically for their teacher evaluation duties. Details on how this data collection was designed is in Chapter 3, Methods. In sum, items from Tschannen-Moran and Gareis’ (2014) principal self-efficacy scale were reworded to focus only on the task of evaluation. Five items pertaining to relationships with students were discarded completely, and the resulting 13 items are listed in Table 2. Given the item, each principal was first asked to score it on a Likert scale of 1-9, nine being “to a great degree.” A follow-up question, such as “Tell me about that,” or “How so” was then asked. Items are organized by three themes. To determine a score for each principal’s sense of self-efficacy for evaluating teachers, item scores were averaged. This is how Tschannen-Moran and Gareis score

their PSES as well. Scores from 1-3 are low, 4-6 are moderate and 7-9 are high. In the case of item #4, four of the principals said they couldn't score it or answer it because they simply had no opportunity at all to speak with the media about evaluating teachers; I scored that as an NA and it was not counted as anything within their overall averages, and therefore their final self-efficacy score.

The item with the highest response, an average of 8.4, was item #7: To what extent can you maintain control of your own daily teacher evaluation schedule? Principals created their own schedules each day, as autonomous building leaders. Mr. Palmer said, "I would say that's an 8. Sometimes you have an emergency come in, but with a good assistant principal, you're blocking out. So that's not a problem. Maybe once a year there's an emergency that you have to take care of" (personal communication, April 11, 2017). He was not the only principal to reference a reliance on an assistant principal to handle daily emergencies. Ms. Nichols also explained that she relied on her assistant principal to manage daily operations while she was doing rounds of observations. However, she indicated that the assistant felt daunted by evaluation duties: "I get as busy as I want, or not, I mean, I think having a new AP this year, this is my third AP in five years, so that was something I stressed, let's have our evaluations done before spring break and that was kind of overwhelming for her" (personal communication, April 3, 2017).

The item principals rated the lowest, a 5.6 on average, was item #9: To what extent can you shape the operational policies and procedures that are necessary to manage the teacher evaluation process at your school? Their responses indicated they felt they did not have control over evaluation operational policies or procedures at the building level. They stated that the evaluation plan was a district-level adoption or creation, as were its procedures, such as how

Table 2: Banneker Elementary Principals' Sense of Self-Efficacy for Teacher Evaluation

| | Interview Questions | Banneker Elementary Principals | | | | | Banneker Combined Avg. |
|--|--|--------------------------------|------|------|------|------|------------------------|
| | | MP | KF | EC | AR | JN | |
| Efficacy for Management | 2. Handle the time demands of the teacher evaluation process? | 8 | 4 | 7 | 8 | 5 | 6.4 |
| | 7. Maintain control of your own daily teacher evaluation schedule? | 8 | 9 | 8 | 8 | 9 | 8.4 |
| | 9. Shape the operational policies and procedures that are necessary to manage the teacher evaluation process at your school? | 8 | 9 | 1 | 8 | 2 | 5.6 |
| | 10. Handle the paperwork required of you within the teacher evaluation process? | 8 | 6 | 9 | 5 | 6 | 6.8 |
| | 12. Cope with the stress of the teacher evaluation process? | 9 | 6 | 8 | 6 | 5 | 6.8 |
| | 13. Prioritize among competing demands of the job, considering the demands of the teacher evaluation process? | 8 | 5 | 8 | 8 | 6 | 7 |
| | Subscale Score | 8.16 | 6.5 | 6.83 | 7.16 | 5.5 | 6.83 |
| Efficacy for Instructional Leadership | 1. Generate enthusiasm for a shared vision of the teacher evaluation process? | 9 | 4 | 7 | 7 | 7 | 6.8 |
| | 3. Manage changes in the teacher evaluation process in your school? | 7 | 6 | 7 | 6 | 6 | 6.4 |
| | 5. Motivate teachers around the evaluation process? | 7 | 5 | 7 | 8 | 6 | 6.6 |
| | 8. Create a positive image of your own daily teacher evaluation schedule? | 8 | 5 | 8 | 8 | 7 | 7.2 |
| | Subscale Score | 7.75 | 5.0 | 7.25 | 7.25 | 6.5 | 6.75 |
| Efficacy for Moral Leadership | 4. Promote a positive image of teacher evaluation with the media? | 7 | NA | NA | NA | NA | 7 |
| | 6. Promote the prevailing values of the community in your school via the teacher evaluation process? | 8 | 4 | 7 | 7 | 5 | 6.2 |
| | 11. Promote ethical behavior among school personnel within the teacher evaluation process? | 8 | 7 | 8 | 8 | 6 | 7.4 |
| | Subscale Score | 7.67 | 5.5 | 7.5 | 7.5 | 5.5 | 6.73 |
| Overall Efficacy | | 7.92 | 5.38 | 6.54 | 7.25 | 5.83 | |
| | | MP | KF | EC | AR | JN | 6.58 |

often and how to observe teachers. Ms. Flores summed up her thoughts this way: “I don't know that I have much control over that, what we have to do for evaluation. That's more of a district level decision...we're told what we need to make sure happens for the year” (personal communication, March 20, 2017). Though some, like Mr. Palmer, served on the teacher evaluation oversight committee, *as principals* they had no say in shaping evaluation policies and procedures. Ms. Chin and Ms. Nichols shared the same feelings and rated the item as a 1 or 2, respectively. It is interesting to note that Ms. Nichols served on the oversight committee, but when asked about the extent she can shape policy as a principal, she felt it was to a very small degree.

One item which had an average score of 7.4 was item #11: To what extent can you promote ethical behavior among school personnel within the teacher evaluation process? Principals interpreted the phrase “ethical behavior” in this question to refer to professionalism. Ms. Roy scored that item as an eight, but her answer indicates she thought of ethical behavior as following professional expectations set forth in the faculty handbook: “I'd just remind my teachers, you know, [of] communication and our handbook of the things that are expected of them, and how we're expected to act in an ethical manner routinely throughout the year so that it doesn't get to that point” (personal communication, March 23, 2017). The “point” she is referring to is a written disciplinary reprimand. Ms. Chin felt the evaluation gave her leverage in addressing ethical behavior (she also rated that item as an eight), but her explanation showed she thought ethical behavior encompassed “communication with parents, communication with their colleagues, with administration, in collaborative planning with our instructional leadership team...timeliness” (personal communication, May 11, 2017). Further discussions of the implications of the principals’ interpretation of ethical behavior can be found in Chapter 5.

Item #4 generated noteworthy results: To what extent can you promote a positive image of teacher evaluation with the media? Four out of five Banneker principals responded that they did not have an opportunity to speak with the media, and that they are directed to send any and all media inquiries, regardless of topic, to the central office administrator responsible for public relations. For those four principals, I recorded their scale scores for that item as NA (not applicable). Principal Palmer said that he did not have an opportunity to speak with the media, but that if he could, it would be a '7.' (personal communication, April 11, 2017).

The principal whose ratings showed the highest sense of self-efficacy for the task of evaluating teachers was Mr. Palmer, with a 7.92 average, and he would still have the highest average score even if his response to item #4 about opportunities to promote to the media, were removed. Mr. Palmer, with 19 total years, has the most administrative experience of the principals interviewed, and was the only principal to speak positively about professional development received from two sources, both IN-TASS and Dr. Fisher. Ms. Nichols and Ms. Flores tied for the lowest scores with a 5.38 and 5.83 average. Both scored low (5, 4 respectively) when given item #6, to what extent can you promote the prevailing values of the community via the teacher evaluation process? Their thoughts about that, as well as other items which typically led to discussions about the evaluation as a tool to leverage positive growth, showed that they did not think of the evaluation as useful beyond scoring observations and following procedural expectations. Ms. Flores has been a principal for three years, while Ms. Nichols has been principal for five years; both were assistant principals with evaluation duties beforehand.

Banneker Document Review

In order to gain a deeper understanding of the professional development principals experienced on teacher evaluation duties, I asked all of the principals, as well as Dr. Fisher, for any documents related to that topic. I solicited documents like agendas and handouts from full- or partial-day district trainings (from within the 2016-2017 school year) about teacher evaluation for principals, or directives from central administration. Though principals in Banneker had all attended two professional development sessions within the 2016-2017 school year on teacher evaluation, none had been provided with handouts or printed guidance from those sessions. However, “Evaluator Briefs” (like a newsletter) were periodically emailed to principals from Dr. Fisher. Evaluator briefs were emailed monthly during the 2015-2016 school year and ranged from nine to 51 pages in length. But in the 2016-2017 school year, only two short newsletters were published, in July 2016 and October 2016. All briefs were archived online, accessible to the general public via the Banneker School District webpage. I coded those documents from my study’s window, 2016-2017, for elements of best practices in professional development as described in my conceptual framework (Diagram 1, p. 26). For example, would documents related to teacher evaluation provide opportunities for *self-reflection*? Or might there be prompts for *group discussion*?

In a sense, these documents are part of on-going professional development, which is why they are included in this analysis. Though lacking many characteristics of best practices in professional development, they are certainly part of the evaluation system at Banneker, and the intended audience is principals. None of the principals I interviewed cited them as something they relied upon or used. I narrowed my coding of evaluator briefs to the two from the current school year, 2016-2017, and one PowerPoint from a half-day training for new evaluators, August 9, 2017.

I found that the two evaluator briefs and the PowerPoint used to guide the new evaluator training focused mainly on two elements of professional development: where principals could access further resources, and in the creation of a shared vocabulary around teacher evaluation. One commonly referred to resource was Standards for Success, the online system used to document observations and scores on the evaluation rubric. For example, “There is an online Pre-Observation form in Standard for Success (SFS) that teachers may be assigned” (Evaluator Brief, July 27, 2016) and “Review real observation scripts from your building in SFS” (New Evaluator Training, August 9, 2017). The district’s Teacher Evaluation webpage is also suggested as a further resource principals should be familiar with. In many cases, the resources referred to come across like helpful tips, such as: “Remember the Six Steps Process,” or “Additionally, you are always encouraged to refer to the book *Leverage Leadership*” (Evaluator Brief, October 14, 2016).

But, occasionally the evaluator briefs would include examples of observation comments, “Attached to this Evaluator Brief is comments that have been pulled from [Banneker] evaluator's observations during the first quarter of the 2016-2017 school year. We have highlighted some comments that may have crossed over into judgment statements” (Evaluator Brief, October 14, 2016). In their interviews, principals expressed a positive preference for activities like this, looking at real comments made by a principal evaluator, including corrective feedback from Dr. Fisher. But, none of them mentioned doing that through evaluator briefs, just during administrative meetings.

Another main use of the evaluator briefs is the establishment of a shared, common vocabulary around the many facets of the evaluation process. Terms like “3rd Grade Bucketing Procedures” and “Evaluator Checklist,” and “Teacher Evaluation Guidebook” are all defined and

described in both the July and October briefs (2016). Creation of a shared vocabulary was certainly a focus at the new evaluator training on August 9, 2017. Consider these given descriptors of a primary evaluator: “The primary evaluator will assign the final rating. The primary evaluator will take the lead on any Performance Assistance Plan. The primary evaluator will conduct the Summative Evaluation Conference. All evaluator[s] may provide observations and feedback” (New Evaluator Training, August 9, 2017). While the evaluator briefs and the PowerPoint from the new evaluator training are neither examples of robust professional development, they did include some characteristics of best practices, and supported ongoing professional development during administrative meetings. In their interviews, principals described the following elements of best practices (Guskey, 2003; Lauer et al., 2014) as being implemented during training sessions or meetings.

- Provides sufficient time and other resources
- Promotes collegiality and collaboration
- Models high-quality instruction/Demonstrations of desired behaviors
- Builds leadership capacity
- Focuses on individual and organizational improvement
- Is on-going and job-embedded
- Takes a variety of forms
- Driven by an image of effective teaching and learning
- Promotes continuous inquiry and reflection
- Use of learning objectives
- Opportunities for participant practice
- Group discussions

Additionally, principals are provided with an extensive Teacher Evaluation Guidebook. Neither Guskey (2003), nor Lauer et al. (2014), nor Joyce and Showers (2002) cite a guidebook as an element of best practice in professional development. Though it is an excellent reference for principals in Banneker School District, and it is rare for a district with a locally-developed plan to have one, the guidebook does not serve to develop principals’ skills as evaluators. It

serves to increase their knowledge of the process, but stops short of developing their application of a given skill.

Observation of Professional Development Session

On January 17, 2018, I observed a two-hour session led by Dr. Fisher and an outside consultant with district administrators and other evaluators (middle and high school department chairpersons). It was divided into two parts; the first hour was defined as “nuts and bolts” and was a review of changes to language in their extensive Teacher Evaluation Guidebook, while the second hour was an informational session provided by a consultant regarding teachers’ current training on culturally responsive practices, and how that could be incorporated into their evaluations. Analysis of the transcript and the accompanying PowerPoint slides revealed few activities which could be considered best practice by Guskey (2003) or Lauer et al. (2014). But, in general, the session hovered around building knowledge and awareness. There were no activities designed to support discussion, collaboration, evaluation or self-reflection. Dr. Fisher shared the agenda, though objectives were unclear. He prompted self-reflection through questioning at certain points, but there was no evidence (such as sharing out) that participants had actually self-reflect. Principals may have interpreted his questions as rhetorical because they did not respond. But, Dr. Fisher continued to invite comments. For example, he said, “I encourage you and go ahead and interrupt me and ask me questions in front of everybody for clarifications. Don’t hold back, this is a free flowing conversation” (observation, January 17, 2018). Five principals asked clarifying questions, and another Assistant Superintendent chimed in with answers and a clarification three times.

The consultant was currently training district teachers on culturally sustaining practices (CSP), and stated the purpose of her session that day was to get evaluators up to speed on what

teachers were learning. Referring to raising evaluator’s awareness of CSP, she said, “It’s another way that we can make sure that that kind of content is really reaching the teacher level” (observation, January 17, 2018). She also wanted to show them how CSP fit into their current evaluation rubric, so they could begin to look for evidence in classrooms and give teachers feedback on their work in CSP. Like the morning session, participants were mostly silent and non-responsive. Only two principals asked clarifying questions. There was no discussion, collaboration or self-reflection.

During both parts of the session, I used Noonan, Langham and Gaumer Erickson’s Observation Checklist for High-Quality Professional Development Training (2013). See Appendix F for this document, which I will refer to as “the checklist.” I considered the two parts of the morning training separately and evaluated them as such. Results for both parts were low in each of the six domains of the protocol, as shown in Table 3 below. In order to be considered high quality, a session must get at least 16 out of 22 checks. Both sessions fell short, with only eight or eleven items within the six domains observed. This, as well as other important findings will be discussed in depth in Chapter 5.

Table 3: Results of Observation Checklist at January 17, 2018 Professional Development

| Checklist Domains | Part 1: Nuts & Bolts presented by Dr. Fisher | Part 2: Cultural Consideration for Teacher Evaluation Process, presented by Consultant |
|------------------------------|---|---|
| Preparation | 3 out of 4 items (3/4) | 3 / 4 |
| Introduction | 3 / 5 | 3 / 5 |
| Demonstration | 2 / 3 | 0 / 3 |
| Engagement | 2 / 4 | 1 / 4 |
| Evaluation/Reflection | 0 / 3 | 1 / 3 |
| Mastery | 1 / 3 | 0 / 3 |
| TOTAL items addressed | 11 out of 22 (50%) | 8 out of 22 (36.3%) |

Grand Orchard School District

Grand Orchard School District serves a small town located on the outskirts of a major metropolitan city. The town is in economic decline, but maintains a sense of pride for their school district, which serves 3,000 students across five school or program sites. According to state measures, students in Grand Orchard perform below average, though their graduation rate is slightly above state average. Sixty-five percent of students receive a free or reduced lunch and 16.3% have been identified as having special needs. About 25% of the students are people of color (<https://compass.doe.in.gov/dashboard/educatorrating.aspx?type=corp&id=5380>).

As discussed in Chapter 1, Grand Orchard School District uses the TAP evaluation model. In 2011-2012, they received a TIF grant to support implementation of TAP, which is a unified system of professional development and evaluation, run through the National Institute for Excellence in Teaching (NIET). This large grant lasted five years, through the 2015-2016 school year. The grant paid for access to evaluation system software and professional development, including district consultants. Grant money also paid teachers and principals bonuses based on evaluation results, and part or all salaries of mentor and master teachers, which created a career ladder for Grand Orchard teachers. For discussion of the TAP evaluation model, see Chapter 1, p. 3. In fall 2016, the district stopped receiving funding, and ceased formal professional development for principals and other evaluators. They also modified their evaluation process, reducing classroom observations from four to three, and adding a videotaped observation which was reviewed jointly by the evaluator and teacher. Teachers and principals also lost their pay bonus. The district, however, found a way to maintain the budget for mentor and master teachers, who serve a critical role as additional evaluators in each building.

Grand Orchard elementary principals. The three elementary principals each served students in uniquely configured buildings. Grand Orchard Early Childhood Center (ECC) includes two special education preschool classes, Kindergarten and 1st grade classes. Summit Elementary serves 2nd and 3rd grade students, and Grand Orchard Elementary School is for students in grades four through six. Each school has between 478-730 students and between 30-40 faculty members. The principals each had one assistant principal, and Grand Orchard Elementary also had an additional dean to support student discipline. See Table 4a-c for Grand Orchard principal and elementary school demographics at a glance.

Perhaps due to their grade configuration, the elementary schools in Grand Orchard differed in tone from each other. Grand Orchard ECC, serving age three through 1st grade and Summit Elementary, serving grades two and three, both felt more loose and child-centered than Grand Orchard Elementary, which felt more like a middle school, though it was for grades four through six. The principals serving primary students were surrounded by a hum of sweet and sometimes funny activity (I overheard a humorous interaction between the school nurse and a 2nd grader). With the older students, the office felt more rigid, a bit more serious. But, student work was displayed in each school. Summit Elementary was a series of several old school buildings, connected throughout the 20th century, a plaque commemorating each time new walls went up. Both Grand Orchard ECC and Grand Orchard Elementary were in relatively new buildings. The principals were all professional and friendly, as were their receptionists.

Belief in purpose of evaluation. The purpose of evaluating teachers in Grand Orchard School District is summed up by TAP's four elements of success: To provide multiple career paths, ongoing applied professional growth, instructionally focused accountability, and performance based compensation. Through their interviews, each principal spoke in agreement

with the four elements, but all focused on professional growth. “Like, it’s just to help us get better at what we do. Um, and they [the teachers]... you know, they gear up. I don’t think we have too many dog and pony shows anymore, they do take it seriously, which is a reflection of them respecting the work they do” (E. Patterson, personal communication, April 13, 2017). The principals value the evaluation process, and believe that their teachers do as well. “Even with the new teachers as soon as they’ve gone through the first formal evaluation, they see the value and the power in it... they know that when the process is finished, there’s going to be something valuable to take away from it” (C. Belton, personal communication, April 13, 2017). Mr. Belton laughed at himself when expressing that he’d like to do *more* observations of teachers because he finds it so powerful. The Grand Orchard principals believe in their model and what it can do for their schools.

Principals’ sense of self-efficacy for evaluating teachers. The three principals at Grand Orchard all showed a high sense of self-efficacy for the job of evaluating teachers. All three of them, Ms. Patterson at the Early Childhood Center, Mr. Belton at Summit Elementary and Ms. Ripley at Grand Orchard Elementary spoke with vision, knowledge and confidence. Table 5 shows Grand Orchard elementary principal’s sense of self-efficacy specifically for their teacher evaluation duties. Details on how this data collection was designed is in Chapter 3, Methods. In sum, items from Tschannen-Moran and Gareis’ (2014) principal self-efficacy scale were reworded to focus only on the task of evaluation. Five items pertaining to relationships with students were discarded completely, and the resulting 13 items are listed in Table 5. Given the question/item, each principal was first asked to score it on a Likert scale of 1-9, nine being “to a great degree.”

Table 4a-c: Grand Orchard School District Principal and School Information

| Table 4a: Principal Experience - Grand Orchard School District | | | | |
|---|-------------------|-------------------|-------------------|--------------------------|
| 2016-2017 | Principal Name | Patterson | Belton | Ripley |
| | School Name | Grand Orchard ECC | Summit Elementary | Grand Orchard Elementary |
| | #Yrs. Teaching | 10 | 12 | 16 |
| | #Yrs. Asst. Prin. | 0 | 0 | 4 |
| | #Yrs. Principal | 7 | 9 | 8 |
| | PSES Score | 8.0 | 7.08 | 8.18 |

| Table 4b: School Accountability Information - Grand Orchard School District | | | | |
|--|---------------------|-------------------|-------------------|--------------------------|
| | Principal Name | Patterson | Belton | Ripley |
| | School Name | Grand Orchard ECC | Summit Elementary | Grand Orchard Elementary |
| 2013-2015* | School Letter Grade | B | B | A |
| 2015-2016 | School Letter Grade | C | C | B |
| 2016-2017 | School Letter Grade | D | D | D |
| 2014-2015 | #Teachers | 33 | 32 | 41 |
| | % Effective | 22.6 | 48.5 | 22.5 |
| | % Highly Effective | 77.4 | 48.5 | 77.5 |

*School letter grades from 2013-2014 were maintained in 2014-2015 by state decree.

| Table 4c: Student Demographic Information - Grand Orchard School District | | | | |
|--|-------------------------------------|--|--|--|
| 2016-2017 | Principal Name | Patterson | Belton | Ripley |
| | School Name | Grand Orchard ECC | Summit Elementary | Grand Orchard Elementary |
| | #Students | 500 | 478 | 730 |
| | % Student Race / Ethnicity | W: 74.5 B: 6.8 M: 10.7 H: 7.4 | W: 75.7 B: 6.1 M: 10.0 H: 7.9 | W: 72.5 B: 9.8 M: 7.3 H: 10.4 |
| | % Students on free or reduced lunch | 65 | 70.7 | 70.5 |
| | | | | |

A follow-up question, such as “Tell me about that,” or “How so” was then asked. Items are organized by three themes. To determine a score for each principal’s sense of self-efficacy for evaluating teachers, item scores were averaged. This is how Tschannen-Moran and Gareis score their PSES as well. Scores from 1-3 are low, 4-6 are moderate, and 7-9 are high. In each item #4, 6 and 9, one principal said they couldn’t score it or answer it because it just did not apply to their experience; I scored those as an NA and it was not counted within their overall averages, and therefore is not within their final self-efficacy score.

Their sense of efficacy for instructional leadership was the highest, with a combined average of eight. Item #3, to what extent can you manage changes in the teacher evaluation process at your school, scored quite high, 8.67. Ms. Patterson said, “... it's a district-wide initiative and decision. So I don't have local control to change that but I absolutely have no problem implementing what they passed down” (personal communication, April 13, 2017). Principals in Grand Orchard did not *control* the change, but they felt confident about their ability to *manage* it.

The only scores below a seven came for Ms. Ripley and Mr. Belton. On item #7, to what extent can you maintain control of your daily teacher evaluation schedule, Ms. Ripley replied “I kinda just have to look at my schedule and fit it in...if I’m in an observation, you do not find me. You do not text me or email me...it gets tricky at busy times of the year... I manage it. I work at home. So, yes, I would say a 5 [or] 6” (personal communication, April 13, 2017). Mr. Belton shared the sense of a heavy workload, like Ms. Ripley. For item #13, to what extent can you prioritize competing demands of the job, considering the demands of the teacher evaluation process, he said “I’d say that’s probably a five for me because it is difficult to prioritize sometimes... [when writing an evaluation] I can get up, I can be in the middle of a sentence, go

attend to something, go right back to it. So that's a strength for me ... and then it's just a lot of, to be honest, it's a lot of evenings" (personal communication, April 13, 2017).

Item #6, to what extent can you promote the prevailing values of the community through the teacher evaluation process, revealed very different answers from the three Grand Orchard principals. Ms. Ripley scored that item as a nine. She interpreted "community" as the school district leadership, stating, "I think that's high as well, because our superintendent is of the mindset that there are no excuses. Good instruction is good instruction... And good instruction works for children of poverty, which we are high poverty district" (personal communication, April 13, 2017). Mr. Belton referred to a part of the evaluation about professionalism, and scored the item as a six. "That [professionalism part] includes some pieces of you know, do you come to events? Are you visible in the community?" (C. Belton, personal communication, April 13, 2017). Ms. Patterson was the only principal to make a connection to values in her answer, though she referred to the faculty's values, not necessarily the community's values. Though she did not give it a numerical score, she said that at ECC "We love them first and we teach them secondly. And I feel like when you look at the rubric that we use, you have the learning environment rubric that's all about respectful culture, managing student behavior, um, and really that social emotional piece" (personal communication, April 13, 2017).

Each of the principals in Grand Orchard had been in their position for many years: Ms. Ripley was finishing her 12th year in building administration, Mr. Belton was in his ninth year, and Ms. Patterson was in her seventh year. All had been principals in Grand Orchard since before the TAP model was implemented. Ms. Ripley, who has the most administration experience, showed the highest sense of efficacy for teacher evaluation, with an 8.18 on the

Table 5: Grand Orchard Elementary Principals' Sense of Efficacy for Teacher Evaluation

| | Interview Questions | EP Grand Orchard ECC | CB Summit Elem. | TR Grand Orchard Elem. | Grand Orchard Combined Avg. |
|--|--|-------------------------------|-----------------------|---------------------------------|--------------------------------------|
| Efficacy for Management | 2. Handle the time demands of the teacher evaluation process? | 7 | 8 | 8 | 7.67 |
| | 7. Maintain control of your own daily teacher evaluation schedule? | 8 | 8 | 6 | 7.33 |
| | 9. Shape the operational policies and procedures that are necessary to manage the teacher evaluation process at your school? | 9 | 7 | NA | 6.33 |
| | 10. Handle the paperwork required of you within the teacher evaluation process? | 8 | 8 | 8 | 8 |
| | 12. Cope with the stress of the teacher evaluation process? | 7 | 7 | 9 | 7.66 |
| | 13. Prioritize among competing demands of the job, considering the demands of the teacher evaluation process? | 8 | 5 | 8 | 7 |
| | Subscale Score | 7.83 | 7.16 | 7.8 | 7.33 |
| Efficacy for Instructional Leadership | 1. Generate enthusiasm for a shared vision of the teacher evaluation process? | 8 | 7 | 8 | 7.67 |
| | 3. Manage changes in the teacher evaluation process in your school? | 9 | 8 | 9 | 8.67 |
| | 5. Motivate teachers around the evaluation process? | 8 | 7 | 9 | 8 |
| | 8. Create a positive image of your own daily teacher evaluation schedule? | 8 | 7 | 8 | 7.67 |
| | Subscale Score | 8.25 | 7.25 | 8.5 | 8 |
| Efficacy for Moral Leadership | 4. Promote a positive image of teacher evaluation with the media? | 8 | 7 | NA | 7.5 |
| | 6. Promote the prevailing values of the community in your school via the teacher evaluation process? | NA | 6 | 9 | 7.5 |
| | 11. Promote ethical behavior among school personnel within the teacher evaluation process? | 8 | 7 | 8 | 7.67 |
| | Subscale Score | 8 | 6.67 | 8.5 | 7.72 |
| Overall Sense of Efficacy | | 8 | 7.08 | 8.18 | |
| | | EP | CB | TR | 7.61 |

modified PSES. She presented as the most business-like. She was very, very busy, between two meetings when she sat for her interview. She had been on the district's oversight committee, and quite simply came across as knowledgeable and quick-thinking. Like her colleagues, her years of experience had provided ample performance opportunities leading to mastery.

Professional development at Grand Orchard. They all described the training to become certified TAP evaluators as rigorous:

...when we were under the TAP grant it was from NIET so [regional coordinators] would come in...they were supportive to us, as I was supposed to be to my instructional leadership team and classroom teachers. And we got an 'A' in the annual review where it was like let me sit down and go through a year, not at a glance, because it was a heck of a binder...we received a lot of support to get good at it. Because if you are under that support structure and evaluation model for five years you learn a little bit! (E. Patterson, personal communication, April 13, 2017).

Principals in Grand Orchard were evaluated by regional coordinators, mentioned by Ms. Patterson and Mr. Belton. "My regional person was outstanding for four years...she always pushed me to always be looking at how to improve" (C. Belton, personal communication, April 13, 2017). So, in addition to the rigorous, years-long training, they also got feedback through the regional coordinator's evaluation process. Ms. Ripley explained, "And so we'd have to produce this binder on all of the clusters, the PDs [professional development sessions] that we'd done, all of the TAP leadership team meetings that I had run, the trainings that we'd attended. We'd have this binder and they'd [the regional coordinator] come in and interview us and we'd get feedback" (personal communication, April 13, 2017). According to the principals, the feedback was framed

in the same way as how they gave feedback to teachers: an area of reinforcement, and an area of refinement. They valued the feedback process inherent in their training as evaluators.

The principals experienced modeling throughout the various TAP trainings. “Things that the TAP coordinators would see out in the state, they would bring to our meeting and then we would go through training there and get ideas about what we could bring back to our own school... Those [meetings] were beneficial as was the TAP conferences that we had too. Anytime you can do a breakout session and learn more about thinking and problem solving, learning from the others who are doing it” (T. Ripley, personal communication, April 13, 2017).

At the end of each interview, I concluded by asking the principals if they had any handouts or agendas from professional development sessions they could share with me. At Grand Orchard, my inquiry for professional development documents prompted a curious response from two of the principals. They realized that they had not had any formal professional development for the whole school year on their evaluation duties, and had no documents to share with me. Ms. Ripley said, “We haven't had much training this year, no. Um, we uh, yeah I haven't had any. I mean it hasn't continued this year other than I still get observed and get feedback for my ILT [Instructional Leadership Team]” (personal communication, April 13, 2017). All of the modeling experiences, regional trainings and formal evaluations of their own practice had happened in previous years.

Ms. Patterson noted that Grand Orchard had hired their former TAP regional coordinator, and she provided minimal professional development for them, but there were no sustained efforts like they had experienced from 2011 – 2016. She seemed surprised when I asked her if she could share any documents with me from recent professional development sessions:

Do you know what's interesting? Is that when you say that it makes me realize that now after TAP, we got the, we've maintained the support that we had for our teachers, and I've maintained the support for my leadership team, but really... I get observed and I get feedback, but...there aren't trainings about it [anymore] and I hadn't really thought about that. Yet I guess we're all still just coasting on the good! But as you think about over time, that will fade and transition. (E. Patterson, personal communication, April 13, 2017).

Though the 2016-2017 school year lacked formal professional development, previous years were full of TAP trainings dedicated to principals' roles as evaluators. The three elementary principals each experienced modeling and demonstrations among other district administrators and their school-based Instructional Leadership Teams, who also had evaluation duties. Ms. Patterson explained how her ILT demonstrated best practices in evaluation and why she valued that. "I think it keeps our scoring fair and it keeps our conferencing fair because we'll do mock post-conferences and we'll video ourselves and we'll say, you know, what are our ECC critical attributes of a post observation conference? What do we see in that [video] that we want all of us to be doing?" (personal communication, April 13, 2017). Activities for Ms. Ripley's ILT included watching videos of classroom lessons. "We meet as a team - it's my instructional leadership team. We meet once a week, so we're all on the same page. [When we watch the videos] we look for interrater reliability and all those things to make sure we're all on the same page" (personal communication, April 13, 2017). Such activities to promote interrater reliability are examples of modeling or demonstration. When they had access to TAP professional development, interrater reliability was a focus of training. "And all throughout the year we had a TAP regional coordinator that would come in and do observations of us and our clusters, and they would even go in and do observations with my mentor [teachers] and with us so that we

were all on the same page. Reliability” (T. Ripley, personal communication, April 13, 2017). In this case, interrater reliability was promoted through feedback from the regional coordinator.

Other aspects of TAP professional development that seemed valuable to the principals were the regional conferences. “Anytime you can do a breakout session and learn more about thinking and problem solving... learning from the others who are doing it” (T. Ripley, personal communication, April 13, 2017). Ms. Patterson valued the conferences because they helped Grand Orchard evaluators develop a sense of pride. “We just grew so much with regards to professional development and the evaluation process, there was a lot of pride associated with that because we were working really hard and it was bringing about wonderful things for us, so I can remember feeling very strongly in those settings [i.e., regional conferences] of being like... oh look we're doing a great job with this because of the framework we were given and the supports!” (personal communication, April 13, 2017). The association with TAP gave Mr. Belton an opportunity for a visit from Glenda Ritz, the State Superintendent of Education (2013-2017). “I think that was a great opportunity for us to project that what we were doing with teacher evaluation is valuable and important” (C. Belton, personal communication, April 13, 2017).

Referring to the work of Guskey (2003), Lauer et al. (2014) and Joyce and Showers (2002), it is clear that TAP training sessions, held regionally and locally for Grand Orchard principals, had a number of elements of best practices in professional development. Grand Orchard principals talked about experiencing these elements:

- Enhances content knowledge
- Promotes collegiality
- Promotes collaboration
- Aligns with other reform initiatives
- Models high quality instruction/Demonstrations of desired behaviors
- Builds leadership capacity

- Focuses on individual and organizational improvement
- Includes follow-up and support
- Is on-going and job-embedded
- Takes a variety of forms
- Driven by an image of effective teaching and learning
- Provides for different phases of change (scaffolding)
- Promotes continuous inquiry and reflection
- Opportunities for participant practice
- Active learning tasks that require cognitive processing
- A participant-centered setting
- Follow-up support to promote transfer of learning

Modeling and demonstration are cited by both Guskey and Lauer et al. as practices that contribute to success. Throughout their training sessions with TAP coordinators, Grand Orchard principals watched videos of teachers teaching, then were given the model scored rubric to compare to how they scored the teacher. To be a certified evaluator, principals then had to do the same thing (watch a video, score it, and compare their score to the model) within the certification assessment. They also saw demonstrations of desired behaviors, like how to frame teachers' strengths and weaknesses as areas of refinement and reinforcement. The TAP coordinators who evaluated the principals modeled this framing back to them during their year-end evaluation, pointing out each principal's area of refinement and reinforcement.

Grand Orchard principals' training also focused on both individual and organizational improvement (Guskey, 2003). As individuals, desired behaviors were modeled for them, and they strived for interrater reliability through demonstrations of actual in-class observation scoring. Additionally, organizational improvement was embedded within the training because of the expectation that principals lead Instructional Leadership Teams (ILT) at their buildings. In TAP sessions, principals were taught how to manage the ILT and were held accountable for doing so in their year-end evaluation. Holding principals accountable for effective management of their ILT also built their own leadership capacity. Furthermore, all professional development

was aligned with what principals were finding through their evaluations of teachers, which promoted continuous inquiry and reflection and organizational improvement.

Validity Issues

This section examines construct validity and reliability of the data in this study (Yin, 2014, p. 46). The operational measures I identified for the constructs being studied (self-efficacy for teacher evaluation and professional development attributes) are the Principal Sense of Efficacy Scale (Tschannen-Moran & Gareis, 2014) and a list of the characteristics of best practices in professional development from Guskey (2003) and Lauer et al. (2014). Additionally, I measured the quality of professional development I observed in Banneker School District with Noonan, Langham and Gaumer Erickson's Observation Checklist (2013), based on Joyce and Showers six elements of effective professional development (2002). To increase this construct validity, I also used multiple sources of evidence: interviews with principals, an observation of professional development, and a document review of district evaluation plans, training session handouts or PowerPoints and pertinent newsletters to administrators. All evidence was analyzed through the same lens of my conceptual framework, the orientation of best practices in professional development to antecedents of self-efficacy (see Diagram 1, p. 27). To increase construct validity I also protected the chain of evidence, which I describe in Chapter 3 (p. 32). To ensure reliability, I developed a case study protocol and maintained a case study database. According to Yin, a case study protocol is about more than the development of a questionnaire; it includes procedures and is essential to a multi-case study like this one (2014). An in-depth explanation of my case study protocol and how I maintained the case study database can also be found in Chapter 3.

This study is not an experimental design, and I do not intend to imply causation or significant correlation. However, throughout the next chapter, the discussion and analysis appropriately includes inferences. Rival explanations and possibilities have been considered, and readers will see that evidence has converged to support the conclusions drawn.

Chapter 5: Discussion and Analysis

The problem identified as the objective for this study is the relationship between professional development and principals' sense of self-efficacy for teacher evaluation. Therefore, the purpose of this study is to determine principals' sense of self-efficacy for implementation of their district's evaluation system and to identify the characteristics of professional development which may have served as antecedents to their sense of self-efficacy. The eight elementary principals who were interviewed came from two suburban districts in Indiana. The following discussion and analysis of the study's findings is organized by research question.

Research Question 1: What are principals' sense of self-efficacy for their role in their teacher evaluation system?

The unit of analysis within each district case is the elementary school principal. Five of the seven Banneker elementary principals, and all three Grand Orchard elementary principals agreed to be interviewed during the spring of 2017 (no. = 8). Note that as discussed in Chapter 2, self-efficacy is a perception one has about oneself, and cannot be objectively measured; interviewees generated a score based on their answers to my interview questions.

Principals interviewed had a moderate to high sense of self-efficacy for the task of evaluating teachers. Principals from Grand Orchard perceived themselves as more efficacious than those from Banneker. At Grand Orchard, efficacy for instructional leadership around teacher evaluation was the highest (8.0), followed by efficacy for moral leadership (7.72) and then for management of teacher evaluation (7.33). Banneker principals, however, showed efficacy for management highest (6.8), followed by instructional leadership (6.75), then moral leadership (6.73). See Table 6, which is a combination of Table 2 and 5 for ease of review or comparison.

Table 6: Self-Efficacy of Elementary Principals at Grand Orchard and Banneker School Districts

| | Interview Questions | Grand Orchard School District | | | | Banneker School District | | | | | |
|---------------------------------------|--|-------------------------------|------|------|--------------------|--------------------------|------|------|------|------|------|
| | | EP | CB | TR | Grand Orchard Avg. | Banneker Avg. | MP | KF | EC | AR | JN |
| Efficacy for Management | 2. Handle the time demands of the teacher evaluation process? | 7 | 8 | 8 | 7.67 | 6.4 | 8 | 4 | 7 | 8 | 5 |
| | 7. Maintain control of your own daily teacher evaluation schedule? | 8 | 8 | 6 | 7.33 | 8.4 | 8 | 9 | 8 | 8 | 9 |
| | 9. Shape the operational policies and procedures that are necessary to manage the teacher evaluation process at your school? | 9 | 7 | NA | 6.33 | 5.6 | 8 | 9 | 1 | 8 | 2 |
| | 10. Handle the paperwork required of you within the teacher evaluation process? | 8 | 8 | 8 | 8 | 6.8 | 8 | 6 | 9 | 5 | 6 |
| | 12. Cope with the stress of the teacher evaluation process? | 7 | 7 | 9 | 7.66 | 6.8 | 9 | 6 | 8 | 6 | 5 |
| | 13. Prioritize among competing demands of the job, considering the demands of the teacher evaluation process? | 8 | 5 | 8 | 7 | 7 | 8 | 5 | 8 | 8 | 6 |
| | Subscale Score | 7.83 | 7.16 | 7.8 | 7.33 | 6.83 | 8.16 | 6.5 | 6.83 | 7.16 | 5.5 |
| Efficacy for Instructional Leadership | 1. Generate enthusiasm for a shared vision of the teacher evaluation process? | 8 | 7 | 8 | 7.67 | 6.8 | 9 | 4 | 7 | 7 | 7 |
| | 3. Manage changes in the teacher evaluation process in your school? | 9 | 8 | 9 | 8.67 | 6.4 | 7 | 6 | 7 | 6 | 6 |
| | 5. Motivate teachers around the evaluation process? | 8 | 7 | 9 | 8 | 6.6 | 7 | 5 | 7 | 8 | 6 |
| | 8. Create a positive image of your own daily teacher evaluation schedule? | 8 | 7 | 8 | 7.67 | 7.2 | 8 | 5 | 8 | 8 | 7 |
| | Subscale Score | 8.25 | 7.25 | 8.5 | 8 | 6.75 | 7.75 | 5 | 7.25 | 7.25 | 6.5 |
| Efficacy for Moral Leadership | 4. Promote a positive image of teacher evaluation with the media? | 8 | 7 | NA | 7.5 | 7 | 7 | NA | NA | NA | NA |
| | 6. Promote the prevailing values of the community in your school via the teacher evaluation process? | NA | 6 | 9 | 7.5 | 6.2 | 8 | 4 | 7 | 7 | 5 |
| | 11. Promote ethical behavior among school personnel within the teacher evaluation process? | 8 | 7 | 8 | 7.67 | 7.4 | 8 | 7 | 8 | 8 | 6 |
| | Subscale Score | 8 | 6.67 | 8.5 | 7.72 | 6.73 | 7.67 | 5.5 | 7.5 | 7.5 | 5.5 |
| Overall Sense of Efficacy | | 8.00 | 7.08 | 8.18 | 7.61 | 6.58 | 7.92 | 5.38 | 6.54 | 7.25 | 5.83 |
| | | EP | CB | TR | | | MP | KF | EC | AR | JN |

Higher sense of self-efficacy. Self-efficacy is the belief in one's capabilities to organize and execute the courses of action needed to produce given attainments (Bandura, 1977). It impacts goal achievement, outcome expectations, affective states and perceptions of socio-structural impediments and opportunities (Bandura, 2000). Self-efficacy is wholly subjective; it is a personal judgment of oneself, a perception one develops (Grecas, 1989). This study's findings showed that principals who had a high sense of self-efficacy for evaluating teachers (Mr. Palmer, Ms. Ripley and Ms. Patterson) perceived impediments to implementation of the teacher evaluation system as possible to overcome. Mr. Palmer and Ms. Ripley both overcame one perceived impediment, the sheer amount of hours it takes to complete observations and a summative evaluation, through delegation. Both principals delegated a large number of evaluations to their assistant principals. Ms. Patterson described overcoming the perceived impediment that their evaluation rubric was not applicable to a preschool setting by helping staff see explicitly how it could be. She argued that the evaluation was an asset, not an obstacle, for her staff: "Um, I think it does push us though, to value things that maybe aren't as natural, like problem solving and critical thinking. [That] looks different K-1" (E. Patterson, personal communication, April 11, 2017). Among the principals interviewed who had a high sense of self-efficacy, however, I did not find evidence that they set and achieved higher goals for themselves, or had high expectations for the impact of teacher evaluation outcomes. Though they each believed in the purpose of their district's evaluation system, they did not express any desire to achieve beyond the expectation of simply implementing the system with fidelity. Ms. Patterson said, "I ... manage [evaluation] because it is prescribed and I have to. It holds a place 'cause it has to" (personal communication, April 11, 2017). None made a clear connection between evaluating teachers and any specific, desired impact, let alone a powerful impact. Therefore, my findings only partially support Bandura's previous findings (2000) on self-efficacy's impact on

goal achievement, outcome expectations, affective states, and perceptions of socio-structural impediments and opportunities.

Gist and Mitchell (1992) describe the relationship between self-efficacy and performance as cyclical. Their research showed a person's sense of self-efficacy for a task increased as more opportunities to perform it occurred. All of the principals interviewed had multiple performance opportunities each week; the principals with the smallest workloads were still observing about 20 teachers three or four times per year. These numerous occasions surely contributed to their moderate and high sense of self-efficacy. Gist and Mitchell (1992) also found that the cyclical nature of self-efficacy and performance led a person to seek more opportunities, which reminds me of Mr. Belton's desire to observe teachers even more frequently.

To make teacher evaluation more powerful, since so much time is dedicated to it, district leaders should make the desired outcomes and expected impacts clear and perhaps more specific. If the desired outcome is greater student achievement because of an expected teacher behavior, that needs to be spelled out and principals need to buy-in. For example, perhaps the desired outcome is a 3% gain in passing rate on the third grade reading assessment, and teacher behavior that will drive that has to do with engaging low-expectancy students. That goal and its desired impact can be measured frequently throughout the school year through the evaluation process (are teachers effective in that behavior?) and through student outcomes (formative assessments prior to the standardized test). At this time, after five or more years of implementation, the moderate to high sense of self-efficacy principals feel indicate they are ready to leverage more through the evaluation process, to move beyond compliance and strive toward more meaningful, transformational gains.

Lower, moderate sense of self-efficacy. What about principals with a lower sense of efficacy for the task of evaluating teachers? What did they express regarding setting lofty goals, having high expectations for outcomes, or for overcoming obstacles? Ms. Chin, with a moderate scale score of 6.54, mentioned the difficulty of work/family balance, summing up her role in evaluation, saying, “I could get better I guess, but it's really about time management” (personal communication, May 11, 2017). She did not share strategies she was using (like Ms. Patterson did when explaining how she used post-it notes, a special calendar and help from secretaries) to manage her time or her daily evaluation schedule. Ms. Nichols, with a scale score of 5.83, alluded to the evaluation system having an impact, but it was unclear what she thought the impact was: “When you come back from [spring] break you have testing and it’s just crazy...so if we're really going to make an impact with teachers, doing [observations] in May? What impact is that going to help the teacher make?” (personal communication, April 3, 2017). Like the principals with a high sense of efficacy, the principals with a lower, moderate sense of efficacy did not say they were setting high goals for evaluation, nor did they express having high expectations for the outcomes.

The Daly et al. study about principals of schools in need of improvement (INI) in California found that principal’s self-efficacy spiraled downward as their school remained in INI year after year. But in this study, the three principals with only a moderate sense of self-efficacy (Ms. Flores, Ms. Nichols and Ms. Chin) served schools that were *not* in the lowest rated category possible in Indiana. In fact, Ms. Flores’s school, Riverbend Elementary, declined from an A to a B to a C over three school years (2013-2016). Ms. Nichols’ school, Weatherstone Elementary, had a D for two years, but had previously been an A school in 2015. Coyote Pass, led by Ms. Chin, bounced from a C to a D back to a C by 2017. So, though generally in decline by state letter grade standards, none of the schools were in need of improvement, or “failure” status.

Their schools' general decline and moderate self-efficacy scores could indicate the beginning of the spiral downward, but that connection cannot be confirmed.

Interestingly, each of their schools showed very high teacher evaluation ratings. As of the 2014-2015 school year, the latest data available, over 93% of teachers at Ms. Flores, Ms. Nichols and Ms. Chin's schools were rated either effective or highly effective. This high rating is the same for teachers at all of the elementary schools run by participating principals. Regardless of a principals' sense of self-efficacy, they have rated almost all teachers as effective or highly effective. The letter grades for Mr. Palmer and Ms. Ripley's schools stand at B's. One may expect that a school which has close to 95% effective or highly effective teachers, based on evaluation by a principal with a moderate or high sense of self-efficacy, would be rated highly by the state. But that is not the case. A principal's sense of efficacy does not appear to be related to his or her teachers' evaluation rating, nor to the school letter grade.

Does this mean that teacher evaluation results are inaccurate, unreliable or invalid? Conventional wisdom and soundbites from politicians might say that there is no way that greater than 93% of teachers at a school in decline (according to other measures) would be effective or highly effective in their practices. Yet, that is exactly what this data shows. If teachers are effective or highly effective instructors, why are students falling short in reading and math measures that add up to the school letter grade? It is worth further consideration.

In sum, I did not find much evidence that the principals' moderate to high sense of self-efficacy results in any exceptional outcomes. Each principal certainly showed they were capable of running their schools – none of which were deemed failures by the state – and each principal was complying with the time-consuming, challenging teacher evaluation process. But no

principal cited their work in teacher evaluation as shifting a negative paradigm, or having a great impact at all.

Research Question 2: What professional development was provided to principals when implementing their evaluation system?

Within each interview, principals were asked two general questions about the professional development they received around their duties as evaluators. Additionally, findings from documents gathered on professional development sessions from 2016-2017, and one morning training for principals in Banneker School District, are included in this analysis.

Banneker School District began professional development for their principals as evaluators in 2012. They belonged to a consortium of districts who received professional development from IN-TASS, and also created their own training sessions based on district-specific needs.

All of the Banneker elementary principals interviewed described how, at their administrative meetings, they would see a demonstration of desired behaviors. The group of building administrators would watch a video of a teacher teaching, and score it individually. Then Dr. Fisher, the assistant superintendent responsible for teacher evaluation, would model how best to script the lesson, and how to score it in the appropriate domains. All five principals valued this activity. However, outside of administrative meetings and IN-TASS training, in the partial- and full-day professional development sessions, I found little evidence of best practices.

In IN-TASS trainings, desired behaviors in pre- and post-observation conferences with teachers were demonstrated in PowerPoint cartoon videos. Though only Mr. Palmer mentioned participating in IN-TASS trainings, Dr. Fisher confirmed that all principals had taken part (J. Fisher, personal communication, December 11, 2017). Those trainings, as well as administrative

meetings, gave principals an opportunity to practice skills they would need to use in evaluation, such as helping teachers set professional goals in pre-observation conferences, and giving effective feedback post-observation. Banneker central administrators evaluated principals every year, but did not complete in-depth appraisals on the principal's work as evaluators. So, though trainings were on-going and job-embedded, follow up support, feedback or coaching did not happen in Banneker. Previous studies have all cited the importance of follow-up support, feedback and coaching, which leads to better transfer of training into practice (Guskey, 2003; Joyce & Showers, 2002; Lauer, et al., 2014).

Consider Banneker's professional development offerings for just the year I studied, 2016-2017. They truly are limited in quantity – just two partial day sessions, one in the fall for new evaluators only, and one in the spring – and in quality, as my analysis showed. While the evaluator briefs keep principals current on changes in practice or policy, and remind them on how to use the evaluation software or adhere to deadlines, they do not go beyond the most basic level of professional development as outlined in the literature I have cited (Guskey, 2003; Lauer et al., 2014; Joyce & Showers, 2002). One explanation could be that the majority of the principals in the district (and all of those I interviewed) were returning and had been managing teacher evaluation without serious issues. Given my findings that a high sense of self-efficacy for evaluation did not cause a notable positive shift for any stakeholders, though, it is curious that professional development was allowed to flat line. A more robust professional development program could build upon the principals' sense of efficacy for the task, and produced better outcomes.

Different from Banneker principals, those in Grand Orchard experienced TAP professional development in large group, small group and individual sessions over a long period

of time (2011 – 2016). The sessions were designed specifically for the task of evaluating teachers and managing the process from start to finish. Professional development included time to collaborate with their team of other evaluators (assistant principals, mentor and master teachers), as well as feedback sessions with an expert from the TAP evaluation system.

Though previous studies indicate that administrators prefer brief training sessions (Oliver, 2005; Salazar, 2007), sometimes described as “one-off” or “sit and get,” principals in Grand Orchard and Banneker valued the long-term nature of their professional development experiences related to evaluating teachers. As noted in Chapter 4, Grand Orchard principals did express surprise and a sense of concern upon the realization that their professional development, as they experienced it in the past five years, had been curbed due to the loss of the TIF grant. It may be valuable for a researcher or administrator within Grand Orchard to design an action research study to determine the impact of the end of TAP-related coordinated, long-term professional development for principal evaluators.

The findings show that the context within which an evaluation system exists, and how principal’s professional development occurs, is important. Context includes factors like political mandates, resource availability, district leadership and district culture. Professional development on teacher evaluation for principals is only *recommended* by the state and there are no sanctions for not providing it. Recall, no state funds were provided to any Indiana district to support the evaluation mandate. This lack of available resources greatly influenced whether or not the professional development was developed internally (do-it-yourself) or externally (via a grant like TAP). These different facets of context informed policy and professional development practices in both districts, and ultimately the sustainability and success of each teacher evaluation system.

Banneker School District and Grand Orchard School District began with different contexts. Banneker developed their system and its accompanying professional development in-house, with support (but no funding) from an external agency, IN-TASS, while Grand Orchard's experience was fully supported and funded by an external agency, TAP. When the TAP grant ended in 2016, Grand Orchard had to eliminate some positions to save those crucial to the success of their system. They no longer participate in regional trainings, nor are individual principals coached by TAP personnel anymore. In contrast, Banneker will simply continue to run their own professional development with training support from IN-TASS. In each case, district leadership, from Grand Orchard's superintendent who pushed for TAP, then maintained important parts of it post-funding, to Dr. Fisher who helms evaluation at Banneker, has been critical to the development, coherence in implementation, and ultimately the success of teacher evaluation. Those findings relate to previous research on the importance of district leadership and support (Gareis & Tschannen-Moran, 2005; Osterman & Sullivan, 1996) especially underscoring the significance of Dr. Fisher's role, as most of the principals interviewed cited his leadership and guidance as critical to their development as evaluators.

Principal's experiences in Grand Orchard and Banneker capture the state of teacher evaluation in 2017. Remarkably, the concerning parts of their current experiences were predicted by researchers and observers of early teacher evaluation implementation (Chestnut, Stewart & Sera, 2015; Cole, et al., 2012; Cole et al., 2013). The professional development for principals as evaluators varies in quality and has become inconsistent in form and timing. From the federal push via Race to the Top (2009) to the state law in 2011 (IC 20-28-9), teacher evaluation has been on the reform agenda, and the need for ongoing training should not be a surprise, yet the support currently offered to the people actually implementing the change – principals – has only diminished over time. This is consistent with the literature reviewed that found a lack of

resources when supporting professional development around teacher evaluation (Aldeman, 2017; Derrington, 2014).

And yet both districts, with an initially strong, centralized system of professional development for teacher evaluation, not only rated high in terms of compliance with Indiana Department of Education requirements, but had elementary principals who developed moderate to high senses of self-efficacy for their duties in evaluation. District leaders should take heed and consider long-term, comprehensive professional development plans for their evaluators. Successful compliance is a pale substitute for the reformative outcomes policy makers claim they intended (Aldeman, 2017; Cole et al., 2012; Cole et al., 2013). The findings also suggest value in establishing and communicating high expectations to get more out of any given evaluation system. State leaders should see that providing resources and funding for teacher evaluation can impact all aspects of this high stakes requirement.

Research Question 3: How or to what extent has the professional development influenced principals' sense of self-efficacy?

The eight elementary principals interviewed showed a moderate to high sense of efficacy for evaluating teachers. A review of their interview transcripts showed they experienced multiple activities which may have served as antecedents to the development of their self-efficacy. The extent to which professional development activities may have influenced principals' sense of self-efficacy varied, based on the quality (i.e., the elements of best practices) of the training.

It is noteworthy that Banneker principals, whose professional development supported compliance more so than transformative practice, scored their sense of self-efficacy highest in the category of management, rather than instructional or moral leadership. Grand Orchard principals, on the other hand, had higher scores for instructional leadership. Banneker's

professional development, which in most recent years has focused on compliance, impacted principals' sense of self-efficacy for management, whereas in Grand Orchard, the high quality, long-term TAP professional development resulted in principals who perceived higher self-efficacy for instructional leadership. As discussed in Chapter 1 (p. 3), TAP is a comprehensive evaluation and professional development system designed to tie together evaluation results and teacher's professional growth. Furthermore, principals are part of a building team of evaluators from within the teaching ranks, and have ongoing professional development from regional coordinators who serve as coaches. The strength of the TAP system, and the fact that it seemed to have been implemented with a high level of fidelity in Grand Orchard was impactful for principals interviewed.

Orientation of best practices to the antecedents of self-efficacy. As discussed in the literature review, according to Bandura there are four major antecedents to development of self-efficacy. They are vicarious experience, verbal persuasion, physiological arousal (stress response), and mastery experience. The conceptual framework driving this study orients best practices in professional development to the antecedents (p. 27). Within the interviews, the document review and the observation of the evaluator training at Banneker, words and phrases for each antecedent were coded. See Chapter 3 (Section titled Emergent Themes) for a list of codes.

Vicarious experience. An analysis of the interviews and documents showed a vicarious experience code occurring 21 times. The code which fell under vicarious experience is "modeling experience." All principals described a modeling experience as when a trainer modeled how to score a teacher doing instruction. Another example of a modeling experience would be how the Banneker principals were shown examples from observation notes, and they

had to determine if it was a fact or opinion. They compared and discussed what they thought with their colleagues, heightening the modeling experience. Ms. Patterson colorfully described the value of discussing the evaluation process with other administrators involved in TAP:

So you could learn from your peers who were ‘real-lifing’ it - we'll make that a verb. And I think that was my favorite part was to hear about tricks that people were learning. Tricks! So that real like connection, not that the regional coordinators aren't real... but there's something about knowing that that [principal] got called out for an angry parent and then had to do a fire drill five minutes later, you know, it just has more, power. (E. Patterson, personal communication, April 13, 2017).

Verbal persuasion. Evidence of verbal persuasion was found in both districts in all cases. There were 36 separate code occurrences in the data analysis. In this study’s conceptual model, several elements of best practices are oriented toward verbal persuasion. Those are the elements which promote collegiality and collaboration via group discussion. At both districts, some principals collaborated with each other, with teachers and with central administrators on teacher evaluation oversight committees, perhaps increasing their sense of self-efficacy for their task back at school of evaluating teachers. Several principals described talking with each other – verbally persuading each other – about how best to follow their evaluation plans, and to align to the same purpose. Collegiality includes a sense of respect for one’s colleagues and superiors; principals expressed respect for each other’s work in teacher evaluation, and even pride in sharing their collective work publicly, as mentioned by Grand Orchard principals when describing TAP regional trainings. Verbal persuasion occurred at the second highest rate in the data (behind physiological arousal), perhaps because each district maintains a strong sense of

teamwork, whether that is between principals like in Banneker, or between principals and master or mentor teachers, in Grand Orchard. And considering all principals had an assistant principal who shared duties, none were actually going it alone. These multiple incidents of verbal persuasion grew their sense of self-efficacy.

Physiological arousal. This antecedent came up often, a total of 42 times under the codes “workload,” “pressure,” and “needs met.” Tschannen-Moran and McMaster (2009) explain Bandura’s conception of physiological arousal like a stress response; perceived positively as anticipation, perceived negatively as anxiety (p. 230). No principal expressed positive anticipation regarding their duties as an evaluator. They did, however, give examples of negative anxiety in their descriptions of the workload and how they managed daily teacher evaluation duties. Principals’ stress responses to the demands of evaluating teachers varied. While some felt they could overcome impediments and handle the demands, others were not so sure, expressing discomfort and stress. Ms. Roy pointed out the inequity in workload between elementary principals and secondary administrators: “The middle schools have three administrators and five department chairs who take on evaluations so they have eight or seven people doing evaluations for the same size building [as mine]” (personal communication, April 3, 2017). District leaders should note these findings, and consider ways to help streamline principals’ duties or offer them more support such as additional administrators to maintain daily operations or handle school discipline. It is important to note that their physiological arousal was often in response to negative emotions, and that it occurred the most out of the four antecedents. “[I]t may look right on paper and sound great on a Monday. But by Friday and I’ve only gotten two but I wanted to get ten [evaluations completed]” (J. Nichols, personal communication, April 3, 2017). It paints a picture of stressed-out, reactive principals.

Mastery experience. Finally, mastery experiences, supported by feedback, follow-up and coaching, occurred over time for some of the principals. Codes for mastery experiences included “reflection,” “active learning,” “cognitive processing,” and “feedback given,” and they occurred 21 times in the data. The literature review revealed the importance of feedback, follow-up and coaching, which to some practitioners may sound like the same thing (Guskey, 2003; Joyce & Showers, 2002; Lauer et al., 2014). But, they are different practices, with different outcomes that could build into mastery experiences. At Grand Orchard, for example, principals got verbal and written feedback on their annual binders, which was a collection of all of the staff development they provided based on results from their observations within the evaluation system. Feedback was given to them by regional coordinators from TAP, but was not part of a coaching program, with continuous follow-up and built-in reflection opportunities, as Joyce and Showers describes effective coaching (2002). In Banneker professional development meetings, Dr. Fisher shared feedback on principal’s observation notes and scores with all administrators, though he kept it anonymous. While we do not know if Dr. Fisher followed up personally with the principal who was shirking his or her evaluation duties, all principals received the message that observations had to be taken care of in a timely manner. He was following-up on a stated expectation for all.

Professional development experiences provided to principals as evaluators did include a variety of characteristics of best practices and likely served as antecedents to self-efficacy. Grand Orchard’s more coordinated, nationally referenced evaluation system, TAP, contained more elements of best practice than the locally-developed model in Banneker. And, Grand Orchard principals, overall, expressed a higher sense of self-efficacy for evaluation than Banneker principals. But while Banneker continues to maintain some level of professional development for their principals, Grand Orchard’s ceased with the loss of funding. How will that affect their sense of self-efficacy in the future?

Other Implications and Future Research

Findings around item #11, “in your current role as principal, to what extent can you promote ethical behavior among school personnel within the teacher evaluation process?” proved worthy of further exploration. After reading transcripts through for a second coding of emergent themes, I noted principals showed different understandings of the term “ethical behaviors.” A few interpreted it to mean something akin to being nice to colleagues. Many principals felt ethical behavior referred to professionalism in general, like being on time or performing one’s official duties. Some indicated they believed ethical behaviors meant not lying (to whom or what about was unclear). But no principal indicated an understanding of ethical behavior as having anything to do with equity for students.

Consider the amount of time participating principals reported spending on evaluating teachers, the high-stakes nature of the results, as well as how results can drive professional development for teachers. Is it concerning that principals do not connect equity in education to their teacher evaluation system and evaluator responsibilities? It is clear principals use the evaluation as leverage for other goals, such as implementation of a specific academic program or as a way to get teachers to communicate more frequently with parents because it was an expectation. So, why not use teacher evaluation as leverage for promoting equity for all students?

Students suffer consequences for years after being in an ineffective teacher’s classroom (Hanushek, 2011). Politicians have indicated that teacher evaluation results should present like a bell curve, and help force ineffective teachers out, for the benefit of students (Cavazos, 2016). But in both Banneker and Grand Orchard, principals believe teacher evaluation is about growth and development, not a system intended to make termination easier. Additionally, very few teachers were rated below “effective” in any school in this study anyway. Teacher evaluation could be used as leverage to gain equity for minority students, or those living in poverty or with

special needs. If improving student equity is considered an ethical behavior district leaders expect from principals, and principals want to see in their teachers, my findings indicate that expectation is unclear in Banneker and Grand Orchard, and perhaps in other districts as well.

This study's findings also have implications for future research in collective efficacy and how or if it is related to professional development experiences. The collective, in this case, would be teachers and principals together. Collective efficacy is a construct that assesses people's perceptions of their working group; do teachers and principals believe that they have the knowledge and skills to meet whole-school expectations around teacher evaluation? How might professional development differ for the two groups of educators? It could be valuable for district leaders to understand the collective efficacy in their school sites and how that is related to professional development or goal attainment.

Additionally, this study's findings underscore the need for research on the relationship or connection between teacher evaluation scores and a school's accountability rating. In Indiana, schools are rated on an 'A-F' scale. As discussed in Chapter 4, schools in this study which were declining to a 'C', for example, still had extremely high teacher evaluation ratings. It begs the question, "How can a school where students perform below or well-below state standards have teachers who are considered effective?" The problem could lie in the formula behind the school letter grade, or it could be connected to how teachers are evaluated. Trying to find answers to questions around this issue could help shore up confidence in both accountability systems (teacher evaluation and school ratings) and the people who implement them (teachers and principals).

Conclusions and Recommendations

This study has resulted in timely and significant findings related to teacher evaluation, an important problem of practice in Indiana's schools. In addition to Indiana, as states continue to

require teacher evaluation, this study provides new insights about how the consistent quality of professional development might influence a principal's self-efficacy and how context matters. It is an area that has been understudied in the existing literature.

Principals felt knowledgeable and they believed in their ability to complete evaluation tasks, but outside of compliance I found no far-reaching, positive change effects, as one might expect from individuals with a high sense of self-efficacy. Professional development experiences certainly helped grow principals' sense of self-efficacy as those included antecedent activities to varying degrees. However, the impact and outcome of the principals' sense of self-efficacy was limited, according to my findings.

This conclusion is supported by another finding; though district leadership and school principals seemed to share a belief in the purpose of their evaluation, they did not make a specific desired end, or impact upon teachers *or* students clear. They all agreed the purpose of evaluating teachers was to support professional growth, but never made the goal clearer than that. I believe if district leaders would collaborate with principals and teacher leaders on setting specific, measureable and attainable goals, a deeper transformation of teaching and school culture could be possible. An evaluation system could leverage that kind of growth, but this study finds that has not yet occurred in these two districts. Archimedes said, "Give me a lever long enough and a fulcrum on which to place it, and I shall move the world." School districts have a lever in teacher evaluation but the fulcrum, the solid place of grounding, is unstable.

This study raises questions about the sustainability of an effective teacher evaluation system in both of these districts, and I would suspect in others across the state. Without the funding for TAP, Grand Orchard has ceased in-depth professional development. At Banneker, the whole system seems to hinge on leadership from Dr. Fisher, and should he leave his post,

momentum as well as institutional knowledge will be gone. Long term planning in any district should include ways to keep momentum for the initiative through shared or distributed leadership and ensure funding specifically to improve the fidelity of implementation of high quality professional development. More positive and impactful outcomes for all stakeholders will be the result.

Based on this study, I make the following policy recommendations. The state of Indiana should allocate funds to support ongoing professional development for evaluators that is aligned with each district's evaluation plan. The professional development should be research-based, including best practices as described by Guskey (2003), Lauer et al. (2014), and Joyce and Showers (2002). The state, through the Department of Education, should set policy to approve evaluator training plans as part of the regular plan submission and approval process. Funding for professional development should be based on student enrollment numbers, a standard way to allocate public money.

At the local level, district leaders should collaborate with all stakeholders to clearly delineate the expected outcomes of teacher evaluation, and they should aim high. It is critical that superintendents be held accountable for not only implementing the professional development for teacher evaluation, but for monitoring and evaluating the outcomes against the community's expectations. Should the state not fully fund evaluator professional development, based on my findings, I recommend superintendents prioritize coaching support to principals, encouraging them to use their role in evaluation as leverage for improving instruction and student outcomes.

Federal support certainly acted as a catalyst to many district's teacher evaluation implementation. But, as funding ended, in the case of Grand Orchard, for example, professional

development was an early cut. Competitive grants, like the Teacher Incentive Fund should be reissued at this time, so many years into the teacher evaluation reform era. Lessons learned in the initial massive effort to reform teacher appraisal should remind state and district leaders to avoid getting bogged down in the process, or to substitute a high level of compliance for the more difficult but impactful transformation of American schools.

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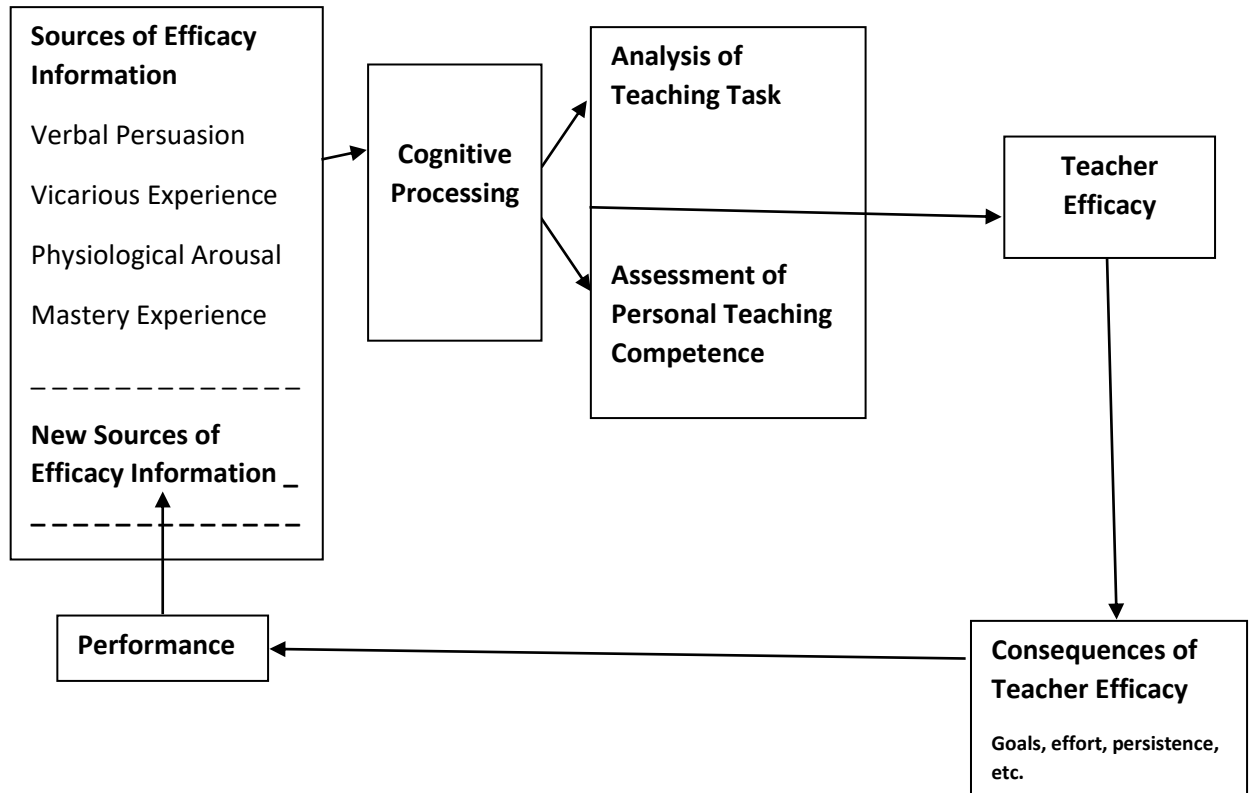
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^b In general, greater control may be perceived over highly variable determinants than over determinants low in variability. With the exception of spontaneous, luck-oriented factors (such as temporary illness), the high variability internal determinants should correspond with the highest perceived control.

The cyclical nature of teacher efficacy – Tschannen-Moran, Woolfolk Hoy & Hoy, 1998



Appendix B

Characteristics of Effective Professional Development

| | |
|--|---|
| Guskey 2003 | <ul style="list-style-type: none">• Enhances teachers' content and pedagogic knowledge• Provides sufficient time and other resources• Promotes collegiality and collaboration• Includes procedures for evaluation• Aligns with other reform initiatives• Models high-quality instruction• Is school or site based• Builds leadership capacity• Based on teachers' identified needs• Driven by analysis of student learning data• Focuses on individual and organizational improvement• Includes follow up and support• Is ongoing and job-embedded• Helps accommodate diversity and promote equity• Based on best available research evidence• Takes a variety of forms• Provides opportunities for theoretical understanding• Driven by an image of effective teaching and learning• Provides for different phases of change• Promotes continuous inquiry and reflection• Involves families and other stakeholders |
| Lauer, Christopher, Firpo-Triplett and Buchting 2014 | <ul style="list-style-type: none">• Sufficient time based on topic complexity• Use of learning objectives• Alignment with participants' training needs• Demonstrations of desired behaviors• Opportunities for participant practice• Group discussions• Pre-work and homework• Active learning tasks that require cognitive processing• A participant-centered setting• Follow-up support to promote transfer of learning |

Appendix C

Letter for Informed Consent to Participate in Study

To: Principal
123 Any School Dr.
Any City, Indiana
From: Lucy Fischman, Doctoral Student
Indiana University, School of Education
201 N. Rose Ave.
Bloomington, IN 47404

Greetings Principals,

I appreciate your support in taking time to meet with me today for an interview. The purpose of the interview is to help me collect research as part of my doctoral studies on principals' sense of self-efficacy for the responsibility of teacher evaluation, as well as professional development experiences. The interview should take no longer than 40 minutes. Your responses will be kept anonymous; pseudonyms will be used for names of people, school buildings and school districts. Therefore, please feel free to speak openly and honestly.

Title of Research Study: Principal Self-Efficacy and Professional Development for Teacher
Evaluation in Indiana

Research Director: Dr. Suzanne Eckes

Student Investigator: Lucy Fischman

Purpose of the Study: To identify characteristics of professional development which principals claimed were beneficial to them and which increased their sense of efficacy in implementation of their district's evaluation system. A secondary purpose is also to ferret out characteristics of professional development which principals felt had no impact or a negative impact on their sense of self-efficacy around teacher evaluation.

Procedures to be used: Participants will be asked 23 questions, which should take approximately 40 minutes. Participants will also be asked to share documents or artifacts related to professional development they experienced around teacher evaluation implementation.

Potential Risks to Participants: Participants will remain anonymous (and their school buildings and districts will remain anonymous) with use of pseudonyms. It is possible that a reader could deduce actual identities, though unlikely.

Potential Benefits of the Study: The results of the study could assist principals, district leaders and state leaders in development of trainings and resources to help principals build a sense of self-efficacy for the task of teacher evaluation. The study will contribute to the body of research on principal self-efficacy and effective professional development practices.

Protection of the identity and privacy of subjects: All responses will be kept anonymous and that will be maintained in any future publications or presentations regarding this study or its findings.

By continuing on with this meeting and interview, you are acknowledging you have read all of the above and have been fully informed of the above-described study and the associated procedures, the possible benefits and risks.

Thank you for your support. I can be reached by phone at [REDACTED] or by email at lucyfischman@gmail.com.

Right to Refuse: Participation in this study is voluntary and participants may change their minds and withdraw from the study at any time without penalty or loss of any benefit to which they may be otherwise entitled.

Sincerely,

Lucy Fischman

Appendix D

Semi-Structured Interview Protocol (Tschannen-Moran and Gareis, 2004; Creswell, 2013)

Project: Principal Self-Efficacy and Professional Development

Time of Interview:

Date:

Place:

Interviewee:

Position of Interviewee:

[First, I will describe the scope of the project, including the purpose of the study, individuals and sources of data, how I will protect the interviewee's confidentiality, and how long it will take. Interviewee can read and sign the consent form. Interview will be recorded on Sony voice recorder.]

Part 1: SELF-EFFICACY

In your current role as principal, to what extent can you...(on a 9-point scale, from “None at all” (1) to “A Great Deal” (9), with “Some Degree” (5) representing the mid-point between low and high.)

1. Generate enthusiasm for a shared vision of the teacher evaluation process?
2. Handle the time demands of the teacher evaluation process?
3. Manage changes in the teacher evaluation process in your school?
4. Promote a positive image of teacher evaluation with the media?
5. Motivate teachers around the evaluation process?
6. Promote the prevailing values of the community in your school via the teacher evaluation process?
7. Maintain control of your own daily teacher evaluation schedule?
8. Create a positive image of your own daily teacher evaluation schedule?
9. Shape the operational policies and procedures that are necessary to manage the teacher evaluation process at your school?
10. Handle the paperwork required of you within the teacher evaluation process?

11. Promote ethical behavior among school personnel within the teacher evaluation process?
12. Cope with the stress of the teacher evaluation process?
13. Prioritize among competing demands of the job, considering the demands of the teacher evaluation process?

Part 2: Professional Development

1. Give me a general overview of the professional development you've been a part of regarding your district's teacher evaluation model.
2. Did any PD activities strike you as more useful than others? Less useful than others?

Appendix E

Tschannen-Moran and Gareis' Principal Sense of Efficacy Scale (2004)

In your current role as principal, to what extent can you.....

1. Facilitate student learning in your school?
2. Generate enthusiasm for a shared vision of the school?
3. Handle the time demands of the job?
4. Manage change in your school?
5. Shape the operational policies and procedures that are necessary to manage your school?
6. Promote school spirit among a large majority of the student population?
7. Raise student achievement on standardized tests?
8. Promote a positive image of your school with the media?
9. Motivate teachers?
10. Promote the prevailing values of the community in your school?
11. Maintain control of your own daily schedule?
12. Create a positive image of your own daily schedule?
13. Handle effectively the discipline of students in your school?
14. Promote acceptable behavior among students?
15. Handle the paperwork required of you within the job?
16. Promote ethical behavior among school personnel?
17. Cope with the stress of the job?
18. Prioritize among competing demands of the job?

Appendix F

Observation Checklist for High-Quality Professional Development

The *Observation Checklist for High-Quality Professional Development* was designed to be completed by an observer to determine the level of quality of professional development training. It can also be used to provide ongoing feedback and coaching to individuals who provide professional development training. Furthermore, it can be used as a guidance document when designing or revising professional development. The tool represents a compilation of research-identified indicators that should be present in high-quality professional development. Professional development training with a maximum of one item missed per domain on the checklist can be considered high quality.

Context Information:

Date: _____ Location: _____
 Topic: _____ Presenter: _____
 Observer: _____ Role: _____

| | |
|--|-------------------------------------|
| The professional development provider: | |
| Preparation | Observed? (Check if Yes) |
| 1. Provides a description of the training with learning objectives prior to training <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Training description and objectives e-mailed to participants in advance</i> ● <i>EXAMPLE 2: Training description and goals provided on registration website</i> ● <i>EXAMPLE 3: Agenda including learning targets provided with materials via online file sharing before training</i> | |
| Evidence or example: | |
| 2. Provides readings, activities, and/or questions in accessible formats to think about prior to the training <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Articles for pre-reading e-mailed to participants in advance</i> ● <i>EXAMPLE 2: Book for pre-reading distributed to schools before training</i> ● <i>EXAMPLE 3: Materials made available via online file sharing</i> | |
| Evidence or example: | |
| 3. Provides an agenda (i.e., schedule of topics to be presented and times) before or at the beginning of the training <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Paper copy of agenda included in training packet for participants</i> ● <i>EXAMPLE 2: Agenda included in pre-training e-mail</i> | |
| Evidence or example: | |

| | |
|--|--|
| <p>4. Quickly establishes or builds on previously established rapport with participants</p> <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Trainer gives own background, using humor to create warm atmosphere</i> ● <i>EXAMPLE 2: Trainer praises group's existing skills and expertise to create trust</i> ● <i>EXAMPLE 3: Trainer uses topical videos to break the ice with the audience</i> | |
| Evidence or example: | |
| <div>Introduction</div> <div>Observed? (Check if Yes)</div> | |
| <p>5. Connects the topic to participants' context</p> <ul style="list-style-type: none"> ● <i>EXAMPLE 1: The state leader introducing the presenter explains that the topic is related to the initiative being implemented across the state</i> ● <i>EXAMPLE 2: Trainer shows examples from classrooms, then asks participants to compare the examples to what happens in their school</i> ● <i>EXAMPLE 3: Trainer shares participating district data profiles and asks participants to consider how the intervention might affect students</i> | |
| Evidence or example: | |
| <p>6. Includes the empirical research foundation of the content</p> <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Trainer provides a list of references supporting evidence-based practices</i> ● <i>EXAMPLE 2: Citations to research are given during PowerPoint presentation</i> ● <i>EXAMPLE 3: Trainer references key researchers and details their contributions to the training content during presentation</i> | |
| Evidence or example: | |
| <p>7. Content builds on or relates to participants' previous professional development</p> <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Trainer explains how intervention relates to other existing interventions within the state</i> ● <i>EXAMPLE 2: Trainer refers to content provided in previous trainings within the sequence</i> ● <i>EXAMPLE 3: Trainer uses participants' knowledge of other interventions to inform training</i> | |
| Evidence or example: | |
| <p>8. Aligns with organizational standards or goals</p> <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Trainer shows how the intervention fits in with the Elementary and Secondary Education Act and Individuals with Disabilities Education Act</i> ● <i>EXAMPLE 2: Trainer discusses how the district selected this intervention for implementation as part of an improvement plan</i> ● <i>EXAMPLE 3: Trainer refers to the program as part of a federally-funded State Personnel Development Grant</i> | |
| Evidence or example: | |
| <p>9. Emphasizes impact of content (e.g., student achievement, family engagement, client outcomes)</p> <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Participants brainstorm the ways the intervention will impact students, especially students with disabilities</i> ● <i>EXAMPLE 2: Trainer uses data to show that the intervention is shown to positively impact post-school outcomes and inclusion in the general education classroom for students with disabilities</i> ● <i>EXAMPLE 3: Trainer shares research that shows that the use of the instructional strategies improved academic achievement for students</i> | |

| | |
|---|-----------------------------|
| Evidence or example: | |
| Demonstration | |
| 10. Builds shared vocabulary required to implement and sustain the practice <ul style="list-style-type: none"> EXAMPLE 1: Trainer has participants work together to formulate definitions of the intervention components and then goes over the definitions as a group EXAMPLE 2: Trainer defines instructional practices according to established literature EXAMPLE 3: Trainer introduces acronyms and mnemonics to help participants remember training content | Observed? (Check if Yes) |
| Evidence or example: | |
| 11. Provides examples of the content/practice in use (e.g., case study, vignette) <ul style="list-style-type: none"> EXAMPLE 1: Trainer provides video examples of the intervention in place within classrooms at different grade levels EXAMPLE 2: Trainer provides hands-on demonstrations of how to use new technology tools EXAMPLE 3: Trainer uses a case study to demonstrate how to implement the intervention | |
| Evidence or example: | |
| 12. Illustrates the applicability of the material, knowledge, or practice to the participants' context <ul style="list-style-type: none"> EXAMPLE 1: Trainer describes how the intervention will benefit schools/classrooms EXAMPLE 2: Trainer shows trend data before and after the practice was implemented in a school EXAMPLE 3: Trainer presents a case study of a teacher who has successfully implemented the intervention | |
| Evidence or example: | |
| Engagement | |
| 13. Includes opportunities for participants to practice and/or rehearse new skills <ul style="list-style-type: none"> EXAMPLE 1: Trainer has participants perform a mock lesson using the new instructional strategy EXAMPLE 2: After receiving training on how to complete a form, participants practice completing the form with a sample case EXAMPLE 3: Participants practice identifying various instructional strategies from sample videos | Observed? (Check if Yes) |
| Evidence or example: | |
| 14. Includes opportunities for participants to express personal perspectives (e.g., experiences, thoughts on concept) <ul style="list-style-type: none"> EXAMPLE 1: Participants use their experiences and prior knowledge to fill in a worksheet on the advantages and disadvantages of various instructional approaches EXAMPLE 2: Participants work together to strategize ways to overcome barriers to implementation in their school EXAMPLE 3: In groups, participants share personal and professional experiences related to the topic. | |
| Evidence or example: | |

| <p>15. Facilitates opportunities for participants to interact with each other related to training content</p> <ul style="list-style-type: none"> • <i>EXAMPLE 1: Participants independently answer questions, then discuss those answers as a large group</i> • <i>EXAMPLE 2: Participants work in groups to assess implementation progress in their building</i> • <i>EXAMPLE 3: Participants think/pair/share about questions within the training</i> | |
|--|------------------------------------|
| Evidence or example: | |
| <p>16. Adheres to agenda and time constraints</p> <ul style="list-style-type: none"> • <i>EXAMPLE 1: Breaks, lunch, and dismissal occur on schedule according to written or verbal agenda</i> • <i>EXAMPLE 2: Trainer adjusts training content to accommodate adjustments to agenda (e.g. participants arriving late due to inclement weather)</i> | |
| Evidence or example: | |
| Evaluation/Reflection | |
| | Observed? (Check if Yes) |
| <p>17. Includes opportunities for participants to reflect on learning</p> <ul style="list-style-type: none"> • <i>EXAMPLE 1: Participants strategize how to apply the knowledge from the training in their own schools</i> • <i>EXAMPLE 2: Participants record 3 main points, 2 lingering questions, and one action they will take</i> • <i>EXAMPLE 3: Green, yellow, and red solo cups at tables used to visually check for understanding at key points throughout training</i> | |
| Evidence or example: | |
| <p>18. Includes specific indicators—related to the knowledge, material, or skills provided by the training—that would indicate a successful transfer to practice</p> <ul style="list-style-type: none"> • <i>EXAMPLE 1: Participants work in district-level teams to use a graphic organizer to create an action plan</i> • <i>EXAMPLE 2: Expectations for completing classroom observations outlined for coaches</i> • <i>EXAMPLE 3: Materials provided for educators to do mid-semester self-assessment to see if intervention is being implemented</i> | |
| Evidence or example: | |
| <p>19. Engages participants in assessment of their acquisition of knowledge and skills</p> <ul style="list-style-type: none"> • <i>EXAMPLE 1: Post-test to assess trainees' grasp of learning objectives</i> • <i>EXAMPLE 2: After guided practice on how to complete an observation form, participants use the form to individually rate a video example and compare their responses to the trainer</i> • <i>EXAMPLE 3: Participants complete performance based assessment, illustrating that they have mastered the learning targets.</i> | |
| Evidence or example: | |
| Mastery | |
| | Observed? (Check if Yes) |
| <p>20. Details follow-up activities that <u>require</u> participants to apply their learning</p> <ul style="list-style-type: none"> • <i>EXAMPLE 1: Participants complete an action plan with clear activities, a timeline, and individuals responsible</i> • <i>EXAMPLE 2: Due dates for steps of student behavioral assessment process reviewed at end of training</i> • <i>EXAMPLE 3: Implementation timeline with due dates provided and discussed</i> | |

| | |
|--|--|
| Evidence or example: | |
| 21. Offers opportunities for continued learning through technical assistance and/or resources <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Trainer describes future trainings and explains how training fits into the series</i> ● <i>EXAMPLE 2: Trainer provides contact information for technical assistance including e-mail address and phone number</i> ● <i>EXAMPLE 3: Trainer shows participants where to find additional materials and readings on the project website</i> | |
| Evidence or example: | |
| 22. Describes opportunities for coaching to improve fidelity of implementation <ul style="list-style-type: none"> ● <i>EXAMPLE 1: Trainer describes follow-up in-building support to be provided by state-level coaches</i> ● <i>EXAMPLE 2: Trainer provides monthly two-hour phone calls to discuss barriers and strategize solutions</i> ● <i>EXAMPLE 3: Series of coaching webinars scheduled to provide follow-up support and additional information on how to implement the intervention</i> | |
| Evidence or example: | |

Authors' Note:

This checklist is not designed to evaluate all components of professional development, because as Guskey (2000) points out, professional development is an intentional, ongoing, and systemic process. However, training (e.g. workshops, seminars, conferences, webinars) is the most common form of professional development because it is “the most efficient and cost-effective professional development model for sharing ideas and information with large groups” (p. 23). Therefore, this checklist is designed to improve and evaluate the quality of training.

Lucy Fischman

EDUCATION AND CERTIFICATION Indiana University, Bloomington, IN

Bachelor of Science, Social Studies Education May 2001

- Endorsement, Computer Education

Masters in Teacher Leadership May 2008

- Thesis: *Positive Behavior Support Challenges for Eighth Graders and Their Teachers*
- Advisor: Leonard Burrello, Ph.D.
- Indiana Administrative License: All Schools, #1014286

Masters in Strategic Management, IU Kelley School of Business Dec. 2016

Doctorate in Educational Leadership and Policy, IU School of Education May 2018

- Dissertation: *Principal Self-Efficacy and Professional Development for Teacher Evaluation*
- Chairperson: Suzanne Eckes, J.D., Ph.D.

PROFESSIONAL EXPERIENCE

Indiana Center on Teacher Quality, Indiana University, Bloomington, IN Sept. 2016 – Present

District Team Coordinator

- Plan and facilitate implementation district leadership meetings
- Maintain records and relationships with district leadership
- Gather fidelity assessment data
- Create reports and data record for grant evaluation purposes

Binford Elementary School, Bloomington, IN July 2013 – July 2016

Highland Park Elementary School, Bloomington, IN July 2012 – July 2013

Principal

- Lead professional development in instruction and curriculum
- Coordinate professional development on implementing iPads for Grades 2-6
- Attend and advise all professional learning communities
- Implement Positive Behavior Supports; Discipline students so teachers can teach
- Responsible for all special education case conferences and implementation of IEPs
- Maintain positive morale among faculty and staff
- Observe and provide feedback to teachers and staff regularly
- Follow evaluation procedures for all certified and non-certified staff
- Use all resources and personnel available to implement Response to Instruction
- Attend all PTO meetings and events, offer continuous assistance and support

Batchelor Middle School, Bloomington, IN

Assistant Principal

Sept. 2008 – July 2012

- Researched and helped develop school-wide goals on School Improvement Team
- Collaborated with Climate Committee in implementing Positive Behavior Supports
- Restructured inclusion program through shared leadership with all teachers
- Responsible for all special education case conferences and implementation of IEPs
- Co-chaired Human Understanding and Diversity committee
- Attendance Officer for Batchelor, worked closely with school social worker
- Evaluated faculty members and non-certified staff members
- Assisted faculty in assessment, measurement and data-driven instruction

Social Studies Teacher, Grades 7-8

June 2004 – Sept. 2008

- Designed Social Studies lesson plans using a backwards design approach
- Practiced differentiation and modification for inclusion students
- Created a safe classroom by maintaining a positive, open and cheerful disposition

PROFESSIONAL TRAINING & COMMITTEE WORK

MCCSC Teacher Evaluation Committee

Sept. 2012 – July 2016

- Collaborated with teachers and central administrators to develop new evaluation model
- Attended IN-TASS Statewide conference on new models in April, 2013, 2014 and 2015

Well-Managed Classroom Teacher and Administrator Training

2012-2016

- Boystown Model for MCCSC Bridges to Success classrooms
- Implemented this behavior model with success at Highland Park and Binford

Crisis Prevention and Intervention Training

2008-2016

- CPI certified

Solution Tree PLC Conference, Lincolnshire

August 2011

- Attended workshops on PLC models for Special Education
- Developed action plan for Batchelor PLCs

HONORS AND RECOGNITIONS

Franklin Initiative of Monroe County Outstanding Educator Award

February 2005

Awarded for work in relational aggression and bullying prevention

REFERENCES AVAILABLE UPON REQUEST